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PATENT



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**UTILITY PATENT APPLICATION TRANSMITTAL LETTER
AND FEE TRANSMITTAL FORM (37 CFR 1.53(b))**

BOX PATENT APPLICATION

Commissioner for Patents
Washington, DC 20231

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is:

- a patent application
 a Continuation a Divisional a Continuation-in-Part (CIP)
of prior application no.: ; filed
 A Small Entity Statement(s) was filed in the prior application; Status still proper and desired.

Inventor(s) or Application Identifier:

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Entitled: **METHODS, SYSTEMS AND COMPUTER PROGRAM PRODUCTS FOR FAILURE RECOVERY FOR ROUTED VIRTUAL INTERNET PROTOCOL ADDRESSES**

Enclosed are:

1. Application Transmittal Letter and Fee Transmittal Form (*A duplicate is enclosed for fee processing*)
2. 70 pages of Specification (including 48 claims)
3. 12 sheets of Formal Drawings (35 USC 113)
4. Oath or Declaration
 - a. newly executed (*original or copy*)
 - b. copy from prior application (37 CFR 1.63(d) (*for continuation/divisional*) [Note Box 5 Below])
 - c. DELETION OF INVENTOR(S) (*Signed statement deleting inventor(s) named in the prior application*)
5. Incorporation By Reference (*useable if box 4b is checked*)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. Microfiche Computer Program (*Appendix*)
7. Assignment papers (*cover sheet(s) and document(s)*)
8. Small Entity Statement(s)
9. Information Disclosure Statement, PTO-1449, and _____ references cited
10. Preliminary Amendment (*Please enter all claim amendments prior to calculating the filing fee.*)
11. English Translation Document
12. Certified Copy of Application No. ; Filed

In re: Aiken, Jr., et al.
Filed: August 17, 2000
Attorney Docket No. 5577-206

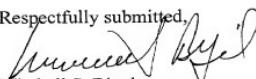
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BASIC FEE			\$345.00	\$690.00
TOTAL CLAIMS	48-20 =	28	x 9 = \$	x 18 = \$504.00
INDEP CLAIMS	6 - 3 =	3	x 39 = \$	x 78 = \$234.00
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- a. Additional filing fees under 37 CFR 1.16 for presentation of extra claims.
 - b. Additional patent application processing fees under 37 CFR 1.17.

Respectfully submitted,


Mitchell S. Bigel

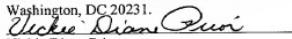
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METHODS, SYSTEMS AND COMPUTER PROGRAM PRODUCTS FOR
FAILURE RECOVERY FOR ROUTED VIRTUAL INTERNET PROTOCOL
ADDRESSES

Related Applications

The present application is related to concurrently filed and commonly assigned United States Patent Application Serial No. _____, entitled "METHODS, SYSTEMS AND COMPUTER PROGRAM PRODUCTS FOR NON-DISRUPTIVELY TRANSFERRING A VIRTUAL INTERNET PROTOCOL ADDRESS BETWEEN COMMUNICATION PROTOCOL STACKS" (Attorney Docket No. 5577-207) and United States Patent Application Serial No. _____, entitled "METHODS, SYSTEMS AND COMPUTER PROGRAM PRODUCTS FOR FAILURE RECOVERY FOR CLUSTER WORKLOAD DISTRIBUTION" (Attorney Docket No. 5577-205), the disclosures of which are incorporated herein by reference as if set forth fully herein.

Field of the Invention

The present invention relates to network communications and more particularly to network communications to a cluster of data processing systems.

Background of the Invention

The Internet Protocol (IP) is a connectionless protocol. IP packets are routed from originator through a network of routers to the destination. All physical

adapter devices in such a network, including those for client and server hosts, are identified by an IP Address which is unique within the network. One valuable feature of IP is that a failure of an intermediate router node or adapter will not prevent a packet from moving from source to destination, as long as there is an alternate path through the network.

In Transmission Control Protocol/Internet Protocol (TCP/IP), TCP sets up a connection between two endpoints, identified by the respective IP addresses and a port number on each. Unlike failures of an adapter in an intermediate node, if one of the endpoint adapters (or the link leading to it) fails, all connections through that adapter fail, and must be reestablished. If the failure is on a client workstation host, only the relatively few client connections are disrupted, and usually only one person is inconvenienced. However, an adapter failure on a server means that hundreds or thousands of connections may be disrupted. On a System/390 with large capacity, the number may run to tens of thousands.

To alleviate this situation, International Business Machines Corporation introduced the concept of a Virtual IP Address, or VIPA, on its TCP/IP for OS/390 V2R5 (and added to V2R4 as well). Examples of VIPAs and their user may be found in United States Patent Nos. 5,917,997, 5,923,854, 5,935,215 and 5,951,650. A VIPA is configured the same as a normal IP address for a physical adapter, except that it is not associated with any particular device. To an attached router, the TCP/IP stack on System/390 simply looks like another router. When the TCP/IP stack receives a packet destined for one of its VIPAs, the inbound IP function of the TCP/IP stack notes that the IP address of the packet is in the TCP/IP stack's Home list of IP addresses and forwards the packet

up the TCP/IP stack. The "home list" of a TCP/IP stack is the list of IP addresses which are "owned" by the TCP/IP stack. Assuming the TCP/IP stack has multiple adapters or paths to it (including a Cross Coupling Facility (XCF) path from other TCP/IP stacks in a Sysplex), if a particular physical adapter fails, the attached routing network will route VIPA-targeted packets to the TCP/IP stack via an alternate route. The VIPA may, thus, be thought of as an address to the stack, and not to any particular adapter.

While the use of VIPAs may remove hardware and associated transmission media as a single point of failure for large numbers of connections, the connectivity of a server can still be lost through a failure of a single stack or an MVS image. The VIPA Configuration manual for System/390 tells the customer how to configure the VIPA(s) for a failed stack on another stack, but this is a manual process. Substantial down time of a failed MVS image or TCP/IP stack may still result until operator intervention to manually reconfigure the TCP/IP stacks in a Sysplex to route around the failed TCP/IP stack or MVS image.

While merely restarting an application with a new IP address may resolve many failures, applications use IP addresses in different ways and, therefore, such a solution may be inappropriate. The first time a client resolves a name in its local domain, the local Dynamic Name Server (DNS) will query back through the DNS hierarchy to get to the authoritative server. For a Sysplex, the authoritative server should be DNS/Workload Manager (WLM). DNS/WLM will consider relative workloads among the nodes supporting the requested application, and will return the IP address for the most appropriate available server. IP addresses for servers that are not available will not be returned. The Time to Live of the

returned IP address will be zero, so that the next resolution query (on failure of the original server, for example) will go all the way back to the DNS/WLM that has the knowledge to return the IP address of an available server.

However, in practice, things do not always work as described above. For example, some clients are configured to a specific IP address, thus requiring human intervention to go to another server. However, the person using the client may not have the knowledge to reconfigure the client for a new IP address.

Additionally, some clients ignore the Time to Live, and cache the IP address as long as the client is active.

Human intervention may again be required to recycle the client to obtain a new IP address. Also, DNSs are often deployed as a hierarchy to reduce network traffic, and DNSs may cache the IP address beyond the stated Time to Live even when the client behaves quite correctly. Thus, even if the client requests a new IP address, the client may receive the cached address from the DNS. Finally, some users may prefer to configure DNS/WLM to send a Time to Live that is greater than zero, in an attempt to limit network-wide traffic to resolve names. Problems arising from these various scenarios may be reduced if the IP address with which the client communicates does not change. However, as described above, to affect such a movement of VIPAs between TCP/IP stacks requires operator intervention and may result in lengthy down times for the applications associated with the VIPA.

Previous approaches to increased availability focused on providing spare hardware. The High-Availability Coupled Multi-Processor (HACMP) design allows for taking over the MAC address of a failing adapter on a shared medium (LAN). This works both for a failing adapter (failover to a spare adapter on the same

node) or for a failing node (failover to another node via
spare adapter or adapters on the takeover node.) Spare
adapters are not used for IP traffic, but they are used
to exchange heartbeats among cluster nodes for failure
detection. All of the work on a failing node goes to a
single surviving node. In addition to spare adapters and
access to the same application data, the designated
failover node must also have sufficient spare processing
capacity to handle the entire failing node workload with
"acceptable" service characteristics (response and
throughput).

Automatic restart of failing applications also
provides faster recovery of a failing application or
node. This may be acceptable when the application can be
restarted in place, but is less useful when the
application is moved to another node, unless the IP
address known to the clients can be moved with the
application, or dynamic DNS updates with alternate IP
addresses can be propagated to a DNS local to clients
sufficiently quickly.

Other attempts at error recovery have included the
EDDIE system described in a paper titled "EDDIE, A Robust
and Scalable Internet Server" by A. Dahlin, M. Froberg,
J. Grebeno, J. Walerud, and P. Winroth, of Ericsson
25 Telecom AB, Stockholm, Sweden, May 1998. In the EDDIE
approach a distributed application called "IP Address
Migration Application" controls all IP addresses in the
cluster. The cluster is connected via a shared-medium
LAN. IP address aliasing is used to provide addresses to
30 individual applications over a single adapter, and these
aliases are located via Address Resolution Protocol (ARP)
and ARP caches in the TCP/IPs. The application monitors
all server applications and hardware, and reallocates
aliased IP addresses in the event of failure to surviving
adapters and nodes. This approach allows applications of

a failing node to be distributed among surviving nodes, but it may require the monitoring application to have complete knowledge of the application and network adapter topology in the cluster. In this sense, it is similar to
5 existing Systems Management applications such as those provided by International Business Machines Corporation's Tivoli® network management software, but the IP Address Migration Application has direct access to adapters and ARP caches. The application also requires a dedicated IP
10 address for inter-application communication and coordination.

United States Patent Application Serial No. 09/401,419 entitled "METHODS, SYSTEMS AND COMPUTER PROGRAM PRODUCTS FOR AUTOMATED MOVEMENT OF IP ADDRESSES
15 WITHIN A CLUSTER" filed September 22, 1999, the disclosure of which is incorporated herein by reference as if set forth fully herein, describes dynamic virtual IP addresses (VIPA) and their use. As described in the '419 application, a dynamic VIPA may be automatically moved from protocol stack to protocol stack in a predefined manner to overcome failures of a particular protocol stack (*i.e.* VIPA takeover). Such a predefined movement may provide a predefined backup protocol stack for a particular VIPA. VIPA takeover was made available
20 by International Business Machines Corporation (IBM), Armonk, NY, in System/390 V2R8 which had a general availability date of September, 1999.
25

In addition to failure scenarios, scalability and load balancing are also issues which have received
30 considerable attention in light of the expansion of the Internet. For example, it may be desirable to have multiple servers servicing customers. The workload of such servers may be balanced by providing a single network visible IP address which is mapped to multiple
35 servers.

Such a mapping process may be achieved by, for example, network address translation (NAT) facilities, dispatcher systems and IBM's Dynamic Name Server/Workload Management DNS/WLM systems. These various mechanisms for allowing multiple servers to share a single IP address are illustrated in **Figures 1** through **3**.

Figure 1 illustrates a conventional network address translation system as described above. In the system of **Figure 1**, a client 10 communicates over a network 12 to a network address translation system 14. The network address translation system receives the communications from the client 10 and converts the communications from the addressing scheme of the network 12 to the addressing scheme of the network 12' and sends the messages to the servers 16. A server 16 may be selected from multiple servers 16 at connect time and may be on any host, one or more hops away. All inbound and outbound traffic flows through the NAT system 14.

Figure 2 illustrates a conventional DNS/WLM system as described above. As mentioned above, the server 16 is selected at name resolution time when the client 10 resolves the name for the destination server from DNS/WLM system 17 which is connected to the servers 16 through the coupling facility 19. As described above, the DNS/WLM system of **Figure 2** relies on the client 10 adhering to the zero time to live.

Figure 3 illustrates a conventional dispatcher system. As seen in **Figure 3**, the client 10 communicates over the network 12 with a dispatcher system 18 to establish a connection. The dispatcher routes inbound packets to the servers 16 and outbound packets are sent over network 12' but may flow over any available path to the client 10. The servers 16 are typically on a

directly connected network to the dispatcher 18 and a server 16 is selected at connect time.

Such a dispatcher system is illustrated by the Interactive Network Dispatcher function of the IBM 2216 and AIX platforms. In these systems, the same IP address that the Network Dispatcher node 18 advertises to the routing network 12 is activated on server nodes 16 as loopback addresses. The node performing the distribution function connects to the endpoint stack via a single hop connection because normal routing protocols typically cannot be used to get a connection request from the endpoint to the distributing node if the endpoint uses the same IP address as the distributing node advertises. Network Dispatcher uses an application on the server to query a workload management function (such as WLM of System/390), and collects this information at intervals, e.g. 30 seconds or so. Applications running on the Network Dispatcher node can also issue "null" queries to selected application server instances as a means of determining server instance health.

In addition to the above described systems, Cisco Systems offers a Multi-Node Load Balancing function on certain of its routers that perform the distribution function. Such operations appear similar to those of the IBM 2216.

Finally, in addition to the system described above, AceDirector from Alteon provides a virtual IP address and performs network address translation to a real address of a selected server application. AceDirector appears to observe connection request turnaround times and rejection as a mechanism for determining server load capabilities.

Summary of the Invention

Methods, systems and computer program products according to embodiments of the present invention provide recovery from a failure of a primary routing communication protocol stack which routes communications over connections to a virtual Internet Protocol address (VIPA) and at least one port associated with the VIPA to a plurality of other communication protocol stacks associated by the routing communication protocol stack and with the VIPA and the at least one port. Such recovery is provided by identifying at least one of a plurality of communication protocol stacks other than the primary routing communication protocol stack in a cluster of data processing systems as a backup routing communication protocol stack. The backup routing communication protocol stack stores an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks. Messages are received at the backup routing communication protocol stack identifying ones of the communication protocol stacks having application instances bound to the VIPA and listening on the at least one port as current actual target stacks. Connections to the VIPA and the at least one port for current actual target stacks are also identified and a routing table constructed from the received messages identifying the connections to the VIPA so as to provide routing path information to current actual target stacks associated with the connection. Messages on the connections to the VIPA and the at least one port to the current actual target stacks associated with the connections are routed through the backup routing communication protocol stack utilizing the constructed routing table.

In further embodiments of the present invention, the identification of connections to the VIPA is accomplished

by receiving messages from the current actual target stacks identifying connections to the VIPA and the at least one port which are associated with the current actual target stacks.

5 In other embodiments of the present invention, a list of communication protocol stack addresses which are associated with the VIPA and the at least one port is received by the backup routing communication protocol stack. In such embodiments, the identification of 10 communication protocol stacks associated with the VIPA and the at least one port may be stored by storing the received list of communication protocol stack addresses. In such embodiments, the list may also include 15 identification of the VIPA and ports associated with the VIPA.

In yet other embodiments of the present invention, an identification of communication protocol stacks which are associated with the VIPA and the at least one port is defined at the backup routing communication protocol 20 stack so as to provide a backup list of candidate target stacks which is different from the candidate target stacks of the primary routing communication protocol stacks. In such embodiments, the backup routing communication protocol may store the identification of 25 communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks by storing the backup list of candidate target stacks. In particular embodiments, the communication protocol stacks identified in the backup list of candidate target stacks 30 are selected to reduce disruption of the cluster of data processing systems associated with the communication protocol stacks by failure of the primary routing communication protocol stack.

In still further embodiments of the present invention, the stored list is sent to communication

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protocol stacks in the cluster of data processing systems. In such embodiments, responsive to receiving the list from the backup routing communication protocol stack, the communication protocol stacks transmit
5 messages to the backup routing communication protocol stack identifying ones of the communication protocol stacks which have application instances bound to the VIPA and listening on the at least one port. The communication protocol stacks also transmit messages to the backup routing communication protocol stack
10 identifying connections to the VIPA and the at least one port. The communication protocol stacks further associate the backup routing communication protocol stack with the VIPA and the at least one port so as to send subsequent messages associated with the VIPA and the at
15 least one port to the backup routing communication protocol stack.

In still further embodiments of the present invention, recovery of the primary routing communication protocol stack is detected and routing of connections to the VIPA and the at least one port transferred back to primary routing communication protocol stack upon detection of recovery of the primary routing communication protocol stack. In such embodiments, recovery detection and transfer may be accomplished by receiving, at the backup routing communication protocol stack, an identification of communication protocol stacks associated with the VIPA and the at least one port which are being routed by the backup routing communication
25 protocol stack from the primary routing communication protocol stack. The primary routing communication protocol stack is associated with the VIPA and the at least one port at communication protocol stacks having connections to the VIPA and the at least one port or
30 communication protocol stacks identified in the
35

identification from the primary routing communication protocol stack as associated with the VIPA and the at least one port so as to cause subsequent messages associated with the VIPA and the at least one port to be sent to the primary routing communication protocol stack. Connections to the VIPA and the at least one port which are routed by the backup communication protocol stack are identified and a routing table constructed at the primary routing communication protocol stack from the received identification of the connections to the VIPA so as to provide routing path information to current actual target stacks associated with the connection. Messages on the connections to the VIPA and the at least one port are routed to the current actual target stacks associated with the connections through the primary routing communication protocol stack utilizing the constructed routing table.

In further embodiments of the present invention, methods, systems and computer program products are provided for recovering from a failure of a primary routing communication protocol stack which routes messages to a predefined virtual IP address (VIPA) to a predefined set of candidate target communication protocol stacks. Such recovery may be provided by defining a backup routing communication protocol stacks which takes ownership of routing functions for the VIPA in the event of failure of the primary routing communication protocol stack. Failure of the primary routing communication protocol stack is detected and it is determined, at the backup routing communication protocol stack, the connections to the VIPA which are associated with the primary routing communication protocol stack. The determined connections to communication protocol stacks associated with the connections are routed through the backup routing communication protocol stack. A second

set of candidate target communication protocol stacks which is different from the predefined set of candidate target communication protocol stacks and associated with the backup routing communication protocol stack is also defined. When a request for a new connection to the VIPA 5 is received by the backup routing communication protocol stack, a communication protocol stack is selected from the second set of candidate communication protocol stacks as a destination for the new connection to the VIPA.

10 Messages associated with the new connection are routed to the selected communication protocol stack through the backup routing communication protocol stack.

In further embodiments, the second set of candidate target communication protocol stacks are selected to reduce disruption of a cluster of data processing systems 15 associated with the communication protocol stacks by failure of the primary routing communication protocol stack.

In still further embodiments, an identification of the second set of candidate target communication protocol stacks is sent to other communication protocol stacks in a cluster of data processing systems. In such 20 embodiments, the other communication protocol stacks receive the second set of candidate target communication protocol stacks from the backup routing communication protocol stack and transmit messages to the backup routing communication protocol stack identifying ones of the other communication protocol stacks which have application instances bound to the VIPA and listening on 25 a port of the VIPA. Messages are also transmitted to the backup routing communication protocol stack identifying connections to the VIPA. Additionally, the backup routing communication protocol stack is associated with 30 the VIPA so as to send subsequent messages associated

with the VIPA and the at least one port to the backup routing communication protocol stack.

In other embodiments of the present invention, recovery of the primary routing communication protocol stack is detected and routing of connections to the VIPA transferred back to primary routing communication protocol stack upon detection of recovery of the primary routing communication protocol stack. In particular embodiments, the detection of recovery and transfer of routing may be accomplished by receiving, at the backup routing communication protocol stack, an identification of candidate target communication protocol stacks associated with the VIPA from the primary routing communication protocol stack. The primary routing communication protocol stack is associated with the VIPA at communication protocol stacks which have connections to the VIPA or which are identified in the received identification of candidate target communication protocol stacks from the primary routing communication protocol stack so as to cause subsequent messages associated with the VIPA to be sent to the primary routing communication protocol stack. Connections to the VIPA which are routed by the backup communication protocol stack are identified and a routing table constructed at the primary routing communication protocol stack from the received identification of the connections to the VIPA so as to provide routing path information for the connections. Messages on the connections to the VIPA to the communication protocol stacks associated with the connections are routed through the primary routing communication protocol stack utilizing the constructed routing table.

As will further be appreciated by those of skill in the art, the present invention may be embodied as

methods, apparatus/systems and/or computer program products.

Brief Description of the Drawings

5 **Figure 1** is block diagram of a conventional network address translation system;

Figure 2 is block diagram of a conventional DNS/WLM system;

10 **Figure 3** is block diagram of a conventional dispatcher system;

Figure 4 is block diagram of a cluster of data processing systems incorporating embodiments of the present invention;

15 **Figure 5** is a flowchart illustrating operations for initialization of a routing protocol stack incorporating distributable VIPAs according to embodiments of the present invention;

20 **Figure 6** is a flowchart illustrating operations of a server protocol stack according to embodiments of the present invention;

Figure 7 is a flowchart illustrating operations for incoming communications to the routing protocol stack according to embodiments of the present invention;

25 **Figure 8** is a flowchart illustrating operations of a routing protocol stack receiving communications from another protocol stack according to embodiments of the present invention;

30 **Figure 9** is a flowchart illustrating operations of protocol stacks during failure of a routing protocol stack according to embodiments of the present invention;

Figure 10 is a flowchart illustrating operations of protocol stacks according to embodiments of the present invention incorporating moveable VIPAs for recovery of a failed routing protocol stack;

10 **Figure 11** is a flowchart illustrating operations of
a communication protocol stack which owns a moveable
VIPA; and

5 **Figure 12** is a flowchart illustrating operations of
a communications protocol stack in response to loss of
ownership of a moveable VIPA.

Detailed Description of the Invention

10 The present invention now will be described more
fully hereinafter with reference to the accompanying
drawings, in which preferred embodiments of the invention
are shown. This invention may, however, be embodied in
many different forms and should not be construed as
limited to the embodiments set forth herein; rather,
these embodiments are provided so that this disclosure
15 will be thorough and complete, and will fully convey the
scope of the invention to those skilled in the art. Like
numbers refer to like elements throughout.

20 As will be appreciated by those of skill in the
art, the present invention can take the form of an
entirely hardware embodiment, an entirely software
(including firmware, resident software, micro-code, etc.)
embodiment, or an embodiment containing both software and
hardware aspects. Furthermore, the present invention can
25 take the form of a computer program product on a
computer-readable storage medium
having computer-readable or computer-readable program code
means embodied in the medium for use by or in connection
with an instruction execution system. In the context of
this document, a computer-readable or computer-readable
30 medium can be any means that can contain, store,
communicate, propagate, or transport the program for use
by or in connection with the instruction execution
system, apparatus, or device.

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The computer-readable or computer-readable medium can be, for example, but is not limited to, an electronic, magnetic, optical, electromagnetic, infrared, or semiconductor system, apparatus, device, or propagation medium. More specific examples (a nonexhaustive list) of the computer-readable medium would include the following: an electrical connection having one or more wires, a removable computer diskette, a random access memory (RAM), a read-only memory (ROM), an erasable programmable read-only memory (EPROM or Flash memory), an optical fiber, and a portable compact disc read-only memory (CD-ROM). Note that the computer-readable or computer-readable medium could even be paper or another suitable medium upon which the program is printed, as the program can be electronically captured, via, for instance, optical scanning of the paper or other medium, then compiled, interpreted, or otherwise processed in a suitable manner if necessary, and then stored in a computer memory.

The present invention can be embodied as systems, methods, or computer program products which allow for a single IP address being associated with a plurality of communication protocol stacks in a cluster of data processing systems by providing a routing protocol stack which associates a Virtual IP Address (VIPA) and port with other communication protocol stacks in the cluster and routes communications to the VIPA and port to the appropriate communication protocol stack. VIPAs capable of being shared by a number of communication protocol stacks are referred to herein as "dynamic routable VIPAs" (DVIPA). While the present invention is described with reference to a specific embodiment in a System/390 Sysplex, as will be appreciated by those of skill in the art, the present invention may be utilized in other systems where clusters of computers utilize virtual addresses by associating an application or application

group rather than a particular communications adapter with the addresses. Thus, the present invention should not be construed as limited to the particular exemplary embodiment described herein.

5 A cluster of data processing systems is illustrated in **Figure 4** as a cluster nodes in Sysplex 10. As seen in **Figure 4**, several data processing systems 20, 24, 28, 32 and 36 are interconnected in a Sysplex 10. The data processing systems 20, 24, 28, 32 and 36 illustrated in
10 **Figure 4** may be operating system images, such as MVS images, executing on one or more computer systems. While the present invention will be described primarily with respect to the MVS operating system executing in a System/390 environment, the data processing systems 20, 24, 28, 32 and 36 may be mainframe computers, mid-range computers, servers or other systems capable of supporting dynamic routable Virtual IP Addresses and which are capable of error recovery as described herein.

15 As is further illustrated in **Figure 4**, the data processing systems 20, 24, 28, 32 and 36 have associated with them communication protocol stacks 22, 26, 30, 34 and 38, which may be TCP/IP stacks. The communication protocol stacks 22, 26, 30, 34 and 38 have been modified to incorporate a VIPA distribution function 23 as
20 described herein for providing dynamic routable VIPAs so as to provide a single IP address for multiple communication protocol stacks.

25 While each of the communication protocol stacks 22, 26, 30, 34 and 38 illustrated in **Figure 4** incorporate the VIPA distribution function 23, not all communication protocol stacks in a Sysplex need incorporate the VIPA distribution function 23. Thus, the present invention may be carried out on any system where two or more communication protocol stacks in a cluster of data

processing systems support dynamic routable VIPAs. If a communication protocol stack does not support dynamic routable VIPA, then the dynamic routable VIPA messages according to the present invention would be ignored by the communication protocol stack. Thus, the present invention provides backward compatibility with existing communication protocol stacks.

As is further seen in **Figure 4**, the communication protocol stacks 22, 26, 30, 34 and 38 may communicate with each other through a coupling facility 40 of the Sysplex 10, for example, utilizing XCF messaging. Furthermore, the communication protocol stacks 22 and 38 may communicate with an external network 44 such as the Internet, an intranet, a Local Area Network (LAN) or Wide Area Network (WAN) utilizing the Enterprise System Connectivity (ESCON) 42. Thus, a client 46 may utilize network 44 to communicate with an application executing on an MVS image in Sysplex 10 through the communication protocol stacks 22 and 38 which may function as routing protocol stacks as described herein.

As is further illustrated in **Figure 4**, as an example of utilization of the present invention and for illustration purposes, data processing system 20 has associated with it communication protocol stack 22 which is associated with MVS image MVS 1 which has application APP A executing on MVS image MVS 1 and utilizing communication protocol stack 22 to allow access to, for example, client 46 through network 44. Similarly, data processing system 24 has associated with it communication protocol stack 26 which is associated with MVS image MVS 2 which has a second instance of application APP A and an instance of application APP B executing on MVS image MVS 2 which may utilize communication protocol stack 26 for communications. Data processing system 28 has associated

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with it communication protocol stack 30 which is associated with MVS image MVS 3 which has a second instance of application APP B executing on MVS image MVS 3 which may utilize communication protocol stack 30 for communications. Data processing system 32 has associated with it communication protocol stack 34 which is associated with MVS image MVS 4 which has a third instance of application APP A executing on MVS image MVS 4 which may utilize communication protocol stack 34 for communications. Finally, data processing system 36 has associated with it communication protocol stack 38 which is associated with MVS image MVS 5 which has a third instance of application APP B executing on MVS image MVS 5 which may utilize communication protocol stack 38 for communications.

Utilizing the above described system configuration as an example, the VIPA distribution function 23 will now be described. The VIPA distribution function 23 allows for protocol stacks which are defined as supporting DVIPAs to share the DVIPA and communicate with network 44 through a routing protocol stack such that all protocol stacks having a server application which is associated with the DVIPA will appear to the network 44 as a single IP address. Such dynamically routable VIPAs may be provided by designating a protocol stack, such as protocol stack 22, as a routing protocol stack, notifying other protocol stacks of the routing protocol stack and having other protocol stacks notify the routing protocol stack when an application which binds to the DVIPA is started. Because communications to the DVIPA are routed through the routing protocol stack, the routing protocol stack may provide work load balancing by distributing connections to the other protocol stacks on MVS images executing server applications which bind to the DVIPA to

balance workload. Furthermore, in particular embodiments of the present invention, scalability and availability may be provided by allowing all protocol stacks for MVS images which execute applications which bind to the DVIPA to have communications routed through the routing protocol stack without user intervention to establish the routing path.

Further aspects of the VIPA distribution function 23 according to embodiments of the present invention allow automated movement of a routing protocol function to a backup stack. Another aspect of the VIPA distribution function 23 allows recovery of a failed routing stack without disruption to connections through the backup stack.

The communication protocol stacks 22, 26, 30, 34 and 38 may be configured as to which stacks are routing stacks, backup routing stacks and server stacks. Different DVIPAs may have different sets of backup stacks, possibly overlapping. The definition of backup stacks may be the same as that for the VIPA takeover function described in United States Patent Application Serial No. 09/401,419, entitled "METHODS, SYSTEMS AND COMPUTER PROGRAM PRODUCTS FOR AUTOMATED MOVEMENT OF IP ADDRESSES WITHIN A CLUSTER" which is incorporated herein by reference as if set forth fully herein.

In providing for DVIPAs, up to five or more aspects of DVIPA operation may be addressed: 1) initialization and definition of DVIPAs and the affected protocol stacks; 2) incoming communications from network 44 to the DVIPA; 3) connections originated by a protocol stack (i.e. outgoing to network 44); 4) failure of a routing stack; and 5) recovery of a routing stack.

Turning now to the first of these aspects, for the present example, application APP A is associated with

DVIPA VAI which may be associated with the respective first, second and third instances of APP A; and application APP B likewise has DVIPA VBI associated with the respective first, second and third instances of APP B.

Configuration of a dynamic routable VIPA may be provided by a new definition block established by a system administrator for each routing communication protocol stack 22 and 38. The new definition block defines dynamic routable VIPAs for which a communication protocol stack operates as the primary communication protocol stack. Backup protocol stacks may be defined as described of the VIPA takeover procedure. Thus, a definition block "VIPADynamic" may be defined as

VIPADynamic

Dynamic Routable VIPA definitions ...

ENDVIPADynamic

The definitions within the VIPADynamic block for a protocol stack supporting moveable VIPAs are:

VIPADEFine MOVEable IMMEDIATE netMask ipaddr ...

where the *netMask* is used to determine the network prefix to be advertised to routing daemons for OSPF or RIP and *ipaddr* is the IP address of the DVIPA. Both network prefix (sometimes known as subnet address) and the mask will be advertised to the routing daemon. All of the VIPAs in a single VIPADEFine statement must belong to the same subnet, network, or supernet, as determined by the network class and address mask. The MOVEable IMMEDIATE parameters define the VIPAs as moveable VIPAs which may be transferred from one communication protocol stack to another. As will be appreciated by those of skill in the art in light of the present disclosure, while the MOVEable IMMEDIATE parameters are expressly defined in the above definition statements, these or other

parameters may be the default parameters which are provided unless specified otherwise. Thus, the parameters need not be expressly called out in all instances.

5 The definitions within the VIPADynamic block for backup are:

VIPABackup rank *ipaddr* ...

where the rank is a number between 1 and 254 used to determine relative order within the backup chain(s) for 10 the associated dynamic routable VIPA(s). A communication protocol stack with the higher rank will take over the dynamic VIPAs before a communication protocol stack with a lower rank.

15 The definitions in the VIPADYNAMIC block for defining a VIPA as a dynamic routable VIPA are:

VIPADISTRIBUTE *ipaddr* PORT *portlist* DESTIP *ipaddrlist*

where *ipaddr* is a VIPA defined in the VIPADEFINE, *portlist* is a list of ports for which the DVIPA will apply. If the PORT keyword is omitted, then all ports for the *ipaddr* will be considered as DVIPAs. The *ipaddrlist* is a list of protocol stacks which will be included as server stacks in routing communications directed to the DVIPA. The IP addresses in the *ipaddrlist* may be XCF addresses of the protocol stacks or 20 may be designated "ALL." If "ALL" is designated, then all stacks in the Sysplex are candidates for distribution. This may include future stacks which are not active when the routing stack is initialized. Thus, if ALL is specified, a protocol stack may be added to the DVIPA without disruption of operations and without user intervention to redefine the stack in the VIPADYNAMIC block.

In addition to the above definitions, a range of IP addresses may be defined as DVIPAs utilizing the

VIPARange definition. A VIPARange definition of the form:

VIPARange MOVEable NONDISRUPTIVE *netMASK ipAddr*
may designate all future VIPAs created in the range as
moveable or dynamic routable VIPAs. The MOVEable
NONDISRUPTIVE parameters allows future instance-specific
dynamic VIPAs to participate as dynamic routable VIPAs
but does not affect dynamic VIPAs created under the range
before the keyword DISTribute was added (e.g. via VARY
OBEY).

In the first aspect, the communication protocol
stacks 22 and 38, which are designated as routing
protocol stacks as they have connections to the network
44 and include VIPADISTribute statements in the
VIPADynamic block, publish the distribution information
through messages broadcast by the VIPA takeover function
23 of each of the communication protocol stacks 22, 26,
30, 34 and 38 to the other communication protocol stacks
22, 26, 30, 34 and 38. At initialization or profile
changes, the communication protocol stacks 22, 26, 30, 34
and 38 communicate to all partner communication protocol
stacks the complete list of dynamic routable VIPAs, their
associated *ipAddrList* and *portlist* and the primary and
backup definitions for the communication protocol stack.

When a communication protocol stack 22, 26, 30, 34
and 38 receives the DVIPA information it notes if it is
identified as a candidate target protocol stack or as a
backup stack. If the protocol stack is a candidate target
stack, it monitors its applications and sends a message
to the defined routing stack when an application instance
is bound to the DVIPA and listens on a defined port. If
the protocol stack is a backup stack it stores the DVIPA
information for use in the event of failure of the
primary routing stack.

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Returning to the example of **Figure 4**, for MVS1 to
MVS5 the VIPADEFine statements may be:

MVS1:VIPADEFine MOVEable IMMEDIATE DVA1
 VIPADISTRIBUTE DVA1 PORT 60 DESTIP XCF1, XCF2, XCF4
5 MVS5:VIPADEFine MOVEable IMMEDIATE DVB1
 VIPADISTRIBUTE DVB1 PORT 60 DESTIP ALL
 VIPADISTRIBUTE DVA1 PORT 60 DESTIP XCF2, XCF3, XCF4

For purposes of illustration the respective address masks
have been omitted because they are only significant to
10 the routing daemons. In the above illustration, XCF1 is
an XCF address of the TCP/IP stack on MVS1, XCF2 is an
XCF address of the TCP/IP stack on MVS2 and XCF3 is an
XCF address of the TCP/IP stack on MVS4. Note that, for
purposes of the present example, definitions for MVS2,
15 MVS3, and MVS4 are not specified. Such may be the case
because the protocol stacks for these MVS images are
candidate target protocol stacks and are not identified
as routing protocol stacks and, therefore, receive their
dynamic routable VIPA definitions from the routing
20 protocol stacks. As is further illustrated, the backup
routing communication protocol stack may have a separate
VIPADISTRIBUTE definition for a DVIPA than the primary
routing communication protocol stack. As described in
more detail below, in such a case the explicit definition
25 of the VIPADISTRIBUTE statement for the backup routing
communication protocol stack in the event of failure of
the primary routing stack. Additional VIPA definitions
may also be provided, however, in the interests of
clarity, such definitions have been omitted.

30 The VIPABACKUP statements for MVS1 and MVS5 of
Figure 4 may be:

 MVS1: VIPABACKUP 30 DVB1
 MVS5: VIPABACKUP 10 DVA1

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With the above scenario in mind, embodiments of the present invention will now be described with reference to Figures 5 through 12 which are flowchart illustrations of operations of protocol stacks incorporating embodiments of the present invention. It will be understood that each block of the flowchart illustrations and/or block diagrams, and combinations of blocks in the flowchart illustrations and/or block diagrams, can be implemented by computer program instructions. These program instructions may be provided to a processor to produce a machine, such that the instructions which execute on the processor create means for implementing the functions specified in the flowchart and/or block diagram block or blocks. The computer program instructions may be executed by a processor to cause a series of operational steps to be performed by the processor to produce a computer implemented process such that the instructions which execute on the processor provide steps for implementing the functions specified in the flowchart and/or block diagram block or blocks.

Accordingly, blocks of the flowchart illustrations and/or block diagrams support combinations of means for performing the specified functions, combinations of steps for performing the specified functions and program instruction means for performing the specified functions. It will also be understood that each block of the flowchart illustrations and/or block diagrams, and combinations of blocks in the flowchart illustrations and/or block diagrams, can be implemented by special purpose hardware-based systems which perform the specified functions or steps, or combinations of special purpose hardware and computer instructions.

Figure 5 illustrates operations of a routing communication protocol stack, such as the protocol stacks 22 and 38 in Figure 4 in the present example. As seen in

Figure 5, the dynamic routable VIPA is defined as described above to include the candidate target stack XCF IP addresses and the ports for the DVIPA (block 100). In the present example, the protocol stack 22 has DVIPA DVA1 identified as the dynamic routable VIPA, port 60 is routable and the candidate target stacks are communication protocol stacks corresponding to XCF addresses XCF1, XCF2, and XCF4. The protocol stack 38 has DVIPA DVB1 identified as the dynamic routable VIPA, port 60 is routable and the candidate target stacks are specified by the "ALL" value and may be any stack in the cluster.

The routing communication protocol stack distributes the list of DVIPAs, ports and candidate target stacks to each of the stacks in the cluster (block 102). Such a distribution may be carried out by, for example, broadcasting the information as part of a VIPA_list as is utilized in VIPA takeover. In the present example, communication protocol stacks 22 and 38 would distribute their information to the other communication protocol stacks 22, 26, 30, 34 and 38. The routing communication protocol stacks 22 and 38 also advertise their respective DVIPAs as IP addresses through the routing protocol utilized to communicate with the network 44 (block 104). Alternatively, as described below, with reference to Figures 11 and 12, ownership of the DVIPAs for communications on the network 44 may be established through the IP Assist function of Queued Direct I/O for OSA Express adapters.

The routing communication protocol stacks also wait for messages from the other communication protocol stacks which identify applications which are bound to their DVIPAs and listen on an identified port (block 106). As the messages are received, the routing communication

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protocol stacks build a Destination Port Table (DPT) which identifies those stacks having instances of applications bound to the DVIPA and listening on an identified port (block 108). Thus, the routing
5 communication protocol stacks, such as the communication protocol stacks 22 and 38, are notified of which communication protocol stacks have applications bound to the DVIPA and which are available to distribute connections to the DVIPA so as to balance workload
10 between the applications.

Figure 6 illustrates operations carried out by a VIPA distribution function 23 of a communication protocol stack upon receiving a message from another communication protocol stack. As seen in Figure 6, when a protocol stack receives a message (block 120), the protocol stack determines if the message contains a VIPA list (block 122). If not, then operations of the VIPA distribution function 23 terminate. If DVIPA information is present in the message, then the VIPA distribution function 23
15 determines if the communication protocol stack is identified as a candidate target stack for the DVIPA (block 124). If the communication protocol stack is a candidate target stack, either as a result of being expressly enumerated in a list or because the "ALL"
20 parameter is specified for the DVIPA, then the protocol stack adds the DVIPA as a non-advertised or internal VIPA address (i.e. not advertised to the routing protocol), if it is not already active as such, which may be utilized
25 by the communication protocol stack in a manner similar to a loopback address (block 126).

The communication protocol stack also monitors the addresses and ports associated with application instances utilizing the protocol stack and, if an application utilizing the protocol stack is bound or binds to the

DVIPA and listens on a port identified in the VIPA list as a DVIPA port (block 128), the protocol stack sends a message to the routing communication protocol stack associated with the DVIPA to notify the routing
5 communication protocol stack that communications may be routed to the application through the candidate target stack (block 130). Such candidate target protocol stacks which have applications bound to the DVIPA and listening on a port associated with the DVIPA may be referred to as
10 a "current actual target" and, as described above, are identified in the DPT of the routing communication protocol stack as available for receiving connections. A message may also be sent if an application instance bound to a DVIPA and listening to a port identified in the VIPA list terminates so that the VIPA distribution function 23
15 of the routing communication protocol stack may maintain an up-to-date DPT. While the sending of a message to notify the routing communication protocol stack of the existence of an application bound to the DVIPA and
20 listening to a port of the DVIPA is illustrated in Figure 6 as responsive to receiving a message from the routing communication protocol stack, as will be appreciated by those of skill in the art, once the DVIPA is active, such messages could be sent any time the candidate target
25 stack detects that an application is bound to the DVIPA and listening on a DVIPA port.

Furthermore, the candidate target protocol stack may also determine if there are any active connections to the DVIPA (block 131). If so, then a connection message may
30 be sent to the routing protocol stack (block 133) to notify it of the existence of the connection. In such a manner the routing protocol stack may incorporate the connection in its current routing table as described herein. Such a connection message may allow for movement

of connections between routing protocol stacks, for example, to recover from a failure of a routing protocol stack.

Irrespective of whether a communication protocol stack is a candidate target stack or a current actual target stack, a communication protocol stack may be a backup for a routing communication protocol stack. Thus, as seen at block 132, the communication protocol stack may determine if it is a backup for the routing communication protocol stack associated with the VIPA list. The backup routing communication protocol stack may also determine it if has its own VIPADISTRIBUTE statement such that it would override the VIPA list information (block 135). If so, then the communication protocol stack need not maintain the VIPA list information as it will use its own information. Otherwise, the backup communication protocol stack maintains the information from the VIPA list so as to perform backup operations in the event of failure of the primary routing stack (block 134). Thus, the backup protocol stack may utilize a different distribution pattern than the primary protocol stack. Such differences may allow for reducing the disruption of a failed stack until the failed stack may be restored by, for example, adding candidate target stacks that are only utilized when a failure of the routing stack occurs.

In the present example illustrated in **Figure 4**, the protocol stack 22 of MVS1 would broadcast a VIPA list (DVIPA_list_1) identifying MVS1 as the primary routing communication protocol stack, DVA1 as a dynamic routable VIPA with port 60 as an associated port and the communication protocol stacks 22, 26 and 34 as candidate target communication protocol stacks. Additionally, the protocol stack 38 of MVS5 would broadcast a VIPA list

(DVIPA_list_2) identifying MVS1 as the primary routing communication protocol stack, DVB1 as a dynamic routable VIPA with port 60 as an associated port and all of the communication protocol stacks 22, 26 30, 34 and 38 as candidate target communication protocol stacks. Also, the communication protocol stack 22 would be identified as a backup to the communication protocol stack 38 and the communication protocol stack 38 would be identified as a backup to the communication protocol stack 22. The communication protocol stack 22 would retain the information in the distributed VIPA list for DVB2 as the communication protocol stack 22 does not have a VIPADISTribute statement for DVB2. However, the communication protocol stack 38 need not retain the received VIPA list for DVA1 as it has its own, explicit, VIPADISTribute statement for DVA1.

When, for example, communication protocol stack 26 receives DVIPA_list_1, it examines the list and determines that it is identified as a candidate target stack. Thus, the VIPA distribution function 23 of communication protocol stack 26 adds the DVIPA DVA1 as a non-routable VIPA and determines if an application is executing which is bound to DVA1 and listening to port 60. For purposes of the present example, APP A is bound to DVA1 and listening to port 60 so the communication protocol stack 26 sends a SRVSTAT message to communication protocol stack 22 identifying itself as a current actual target. The VIPA distribution function 23 of the communication protocol stack 22 incorporates the XCF address of the communication protocol stack 22 into its DPT. Messages to port 60 of the DVIPA may then be routed to the communication protocol stack 26. Because no connections exist at this time a NEWCONN message is not sent.

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When the communication protocol stack 30 receives DVIPA_list_1, it examines the list and is not identified as a candidate target stack or as a backup to the communication protocol stack 22 and may disregard the list. When the communication protocol stack 38 receives DVIPA_list_1, it examines the list and is not identified as a candidate target stack but is identified as a backup to the communication protocol stack 22. Thus, the communication protocol stack 38 stores the list for use in error recovery.

When any of the communication protocol stacks 22, 26, 30, 34 and 38 receive the DVIPA_list_2, then note that the "ALL" parameter is identified and add the DVIPA DVB1 as a non-routable VIPA. These communication protocol stacks 22, 26, 30, 34 and 38 the monitor for applications bound DVB1 and listening on port 60 to determines if an application is executing which is bound to DVA1 and listening to port 60. If and when such an application binds to DVB2 and listens on port 60 a SRVSTAT message is sent to the communication protocol stack 38 to identify the candidate target stack as a current actual target as described above. Furthermore, if a communication protocol stack is subsequently activated, it too will identify DVB1 as a DVIPA and add DVB1 as a non-routable VIPA.

Figure 7 illustrates operations of a routing communication protocol stack when a communication is received from the network 44. As is seen in **Figure 7**, the VIPA distribution function 23 of the communication protocol stack determines if the communication is to a DVIPA associated with the stack (block 140) by, for example, examining the IP address and port of the communication and comparing that with those of the DVIPAs for the protocol stack. If the communication is not to a

DVIPA of the protocol stack, then operations of the VIPA distribution function 23 may terminate with respect to the communication.

If the communication is to a DVIPA of the protocol stack, then the VIPA distribution function 23 determines if the communication is a SYN to establish a connection to the DVIPA (block 142). If so, then the VIPA distribution function 23 may select a current actual target for the connection (i.e. a communication protocol stack with an application bound to the DVIPA and listening to the port specified by the communication) (block 144). Such a selection may, for example, be based on predefined criteria, utilizing a predefined selection pattern, such as round-robin, weighted round-robin or the like, or may be based on dynamic criteria, policies or combinations thereof. For example, the selection may be made to distribute workload between the candidate target stacks. Thus, a workload manager and/or a service policy agent may be consulted in selecting the candidate target stack.

However the selection is made, the VIPA distribution function 23 updates a current routing table (CRT) which defines the path from the routing communication protocol stack to the selected current actual target (block 146). Such an update may take the form of creating an entry incorporating the source IP address, DVIPA and port and the XCF address of the selected current actual target. The message is also forwarded to the selected current actual target using the XCF address of the current actual target (block 150).

Returning to block 142, if the communication is not a SYN message, then the VIPA distribution function 23 of the routing communication protocol stack consults the CRT to route the communication and, if an appropriate

destination communication protocol stack is found, routes
the communication to the current actual target for the
communication (block 152). The communication is then
forwarded to the current actual target specified by the
5 CRT (block 150).

Figure 8 illustrates operations of the VIPA
distribution function 23 of the routing communication
protocol stack when a message is received from another
communication protocol stack. As is seen in Figure 8,
10 the VIPA distribution function 23 determines the type of
message received (block 160). If the message is a
SRVSTAT message, then, as described above, the
application and communication protocol stack entries of
the DPT are updated (block 166) by the VIPA distribution
function 23. As described above, the SRVSTAT message may
15 be sent by a communication protocol stack both when an
application instance binds to the DVIPA and listens to an
associated port and when the application instance
terminates. Thus, the SRVSTAT message may be utilized by
the VIPA distribution function 23 to maintain the DPT
20 with up-to-date information as to the current actual
targets available for connections (block 166).

Returning to block 160, the VIPA distribution
function 23 may also determine if the message is a new
connection message (NEWCONN). Such a message may be
generated if an application bound to a DVIPA utilizing a
port in the VIPA list initiates a connection or, as
described above, if a communication protocol stack
receives a VIPA list with a DVIPA which already have
30 applications using the DVIPA for connections, then the
VIPA distribution function 23 of the communication
protocol stack sends a NEWCONN message to the routing
communication protocol stack to notify the routing
communication protocol stack of the connection. If the

message is a NEWCONN message, then the VIPA distribution function 23 incorporates the connection into the CRT (block 164). Such an incorporation of the connection into the CRT may be carried out as described above for connections originated from network 44.

A third type of message which may be received by the VIPA distribution function 23 is a connection termination message (TERMCNN). Such a message may be generated by a VIPA distribution function 23 when a connection terminates. When the connection terminates, the VIPA distribution function 23 of the communication protocol stack sends a TERMCNN message to the routing communication protocol stack to notify the routing communication protocol stack that the connection has ended and routing for the connection may be discontinued. Thus, if the message is a TERMCNN message (block 160), then the VIPA distribution function 23 removes the connection from the CRT (block 162). Such a removal of the connection from the CRT may be carried out by, for example, deleting or invalidating an entry in the CRT corresponding to the connection.

Returning to the example illustrated in **Figure 4**, when a SYN message to port 60 of DVA1 is received from network 44 by communication protocol stack 22, the VIPA distribution function 23 determines that the SYN is to a dynamic routable VIPA for which it is the routing communication protocol stack, consults its DPT and optionally a workload management function (not shown) and selects a current actual target as a destination for the message. Thus, the VIPA distribution function 23 of the communication protocol stack 22 may select the communication protocol stack 26 as a destination. The communication protocol stack 22 creates an entry for the connection in its CRT and forwards the message to the

communication protocol stack 26. Subsequent messages from the network 44 to port 60 of DVA1 from the source IP address will also be routed to the communication protocol stack 26 using the CRT entry.

An instance of APP A of the communication protocol stack 26 bound to DVA1 and utilizing port 60 may also establish a connection over network 44 either directly or through another protocol stack. When such occurs, the VIPA distribution function 23 of communication protocol stack 26 sends a NEWCONN message to the routing communication protocol stack 22 identifying the new connection. The VIPA distribution function 23 of communication protocol stack 22 receives the NEWCONN message and updates its CRT to route communications from the identified new connection to port 60 of DVA1 to the communication protocol stack 26. Such an identification may be made by, for example, providing the source IP address of the other end of the connection, the DVIPA and port and the XCF address of the communication protocol stack 26 to the routing communication protocol stack 22.

In any event, when either of the connections ends, the VIPA distribution function 23 of the communication protocol stack 26 sends a TERMCONN message to the VIPA distribution function 23 of the communication protocol stack 22. The VIPA distribution function 23 of the communication protocol stack 22 removes the entry from the CRT corresponding to the function and, thereby, terminates routing for the connection.

Figures 9 and 10 illustrate operations of the VIPA distribution function 23 during failure of a routing communication protocol stack and during recovery of a routing communication protocol stack. As seen in **Figure 9**, when a failure occurs, the other communication

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protocol stacks in the cluster of data processing systems
are notified of the failure (block 200). The
communication protocol stack identified as the backup
stack for the dynamic routable VIPA takes over routing
functions for that DVIPA so as to become a backup routing
communication protocol stack. In addition, the backup
routing communication protocol stack may broadcast the
DVIPA list that it will utilize in routing connections
for the DVIPA (block 201). This list may be the list
provided by the primary routing communication protocol
stack or a list defined explicitly for the backup routing
communication protocol stack. Alternatively, the list
may need only be distributed in the instance where the
backup routing communication protocol stack has an
explicitly defined DVIPA list.

As described above, because of the broadcast of
information each of the communication protocol stacks is
aware that it is a candidate target for a DVIPA and the
identity of the highest ranking backup routing
communication protocol stack. Therefore, the
communication protocol stacks with application instances
bound to the DVIPA and listening on an associated port
may send a SRVSTAT message and a NEWCONN message(s) for
connections to the DVIPA for the communication protocol
stack to the backup routing communication protocol stack
(block 202). The communication protocol stacks also
associate the backup routing communication protocol stack
with any connections utilizing the DVIPA so that
subsequent messages for the DVIPA are sent to the backup
routing communication protocol stack (block 204). The
backup routing communication protocol stack utilizes the
SRVSTAT messages and its information from the appropriate
VIPA list to build a new DPT for the DVIPA (block 206).

The backup routing communication protocol stack also receives NEWCONN messages from the server communication protocol stacks with existing DVIPA connections and constructs a CRT based on these messages (block 208). The
5 routing information from the constructed CRT is incorporated into the backup routing communication protocol stack's own CRT (block 210). The backup routing communication protocol stack may also send its own DVIPA messages to the other communication protocol stacks to notify the other communication protocol stacks that it is performing the backup function (block 212). Such messages may be sent to prevent other backup communication protocol stacks in a list of backups from taking over the DVIPA. Details on the transfer of a VIPA to a backup are provided in United States Patent Application Serial No. 09/401,419 described above.
10 Furthermore, in particular embodiments, the issuance of the SRVSTAT or the NEWCONN messages may be in response to the DVIPA messages sent by the backup routing communication protocol stack. Thus, embodiments of the present invention are not limited to the sequence illustrated in **Figures 9** and **10**. Operations then continue with the backup routing communication protocol stack operating as the routing communication protocol stack described above.

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Turning to **Figure 10**, when the primary communication protocol stack recovers, it again broadcasts its VIPA list which is received by the other communication protocol stacks (block 300). In response to receiving the VIPA list, the candidate target stacks send SRVSTAT messages to the recovered primary routing communication protocol stack (block 302) which identify the stacks which have application instances bound to the DVIPA and utilizing a port of the VIPA list. The recovered primary

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routing communication protocol stack also sends a DVIPA message to the backup communication protocol stack which receives the takeback message (block 304) and generates a NEWCONN message for all the connections which are routed through the backup communication protocol stack (block 306). The NEWCONN message is sent to the primary routing communication protocol stack (block 308) and the primary routing communication protocol stack constructs a CRT based on the information from the message.

Alternatively, the server stacks may send NEWCONN messages directly to the recovered primary routing stack either in response to receiving the VIPA list or the DVIPA message. In any case, routing of the existing connections may then be performed by the primary routing communication protocol stack. Finally, the backup routing communication protocol stack deletes the DVIPA and cleans up its routing and DPT tables (block 310). Thus, the routing of the DVIPA is returned to the recovered stack.

In the example illustrated in **Figure 4**, assume that the communication protocol stacks 26 and 34 have applications with connections routed through the DVIPA of the routing communication protocol stack 22. Furthermore, the communication protocol stack 38 is defined as the backup to the communication protocol stack 22. If the communication protocol stack 22 fails, then the communication protocol stacks 26 and 34 send SRVSTAT messages to the backup routing communication protocol stack 38 identifying them as current actual targets. The communication protocol stacks 26 and 34 also associate the communication protocol stack 38 with the DVIPA DVA1 and send all subsequent messages to the backup routing communication protocol stack 38. The communication protocol stack 38 builds its DPT from the SRVSTAT

messages, receives NEWCONN messages for connections through the failed communication protocol stack **22** and creates routing information for incorporating in its CRT. The backup routing communication protocol stack **38**

5 incorporates the routing information into its routing table and begins routing messages for the connections routed through the failed communication protocol stack. The backup routing communication protocol stack **38** may also send a DVIPA message to the other communication

10 protocol stacks **26**, **30** and **34** to indicate that it is backing up the DVIPA DVA1.

When the primary routing communication protocol stack **22** is recovered, it sends a VIPA list to the other communication protocol stacks **26**, **30**, **34** and **38**. The VIPA list message signals the other communication protocol stacks **26**, **30**, **34** and **38** to send SRVSTAT messages to the communication protocol stack **22** so as to identify current actual targets for the DVIPA DVA1. The communication protocol stack **22** builds a DPT from the SRVSTAT messages. The backup routing communication protocol stack **38** also generates a NEWCONN message for each connection to DVA1 routed through the backup routing communication protocol stack **38** and sends this message to the communication protocol stack **22**. Alternatively, the server communication stacks may send NEWCONN messages in response to the VIPA list identifying existing connections to the DVIPA. In any case, the communication protocol stack **22** builds a CRT from the NEWCONN message(s). The backup routing communication protocol stack **38** cleans up its routing tables and deletes DVA1 so that it no longer performs routing for DVA1. Thus, control of DVA1 is transferred back to the communication protocol stack **22** with limited disruption to the connections.

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As a further example of embodiments of the present invention, operations for the movement of dynamic VIPAs, whether routable or not, will now be described. As mentioned above, a dynamic VIPA may be established by an
5 IOCTL or bind to a VIPA defined in the VIPARange as MOVEable NONDIRECTIVE or in a VIPADEFINE statement as MOVEable IMMEDIATE. In either case, the DVIPA messages described above may be utilized to move the VIPA from an existing protocol stack to a new protocol stack with the new protocol stack routing the connection to the existing protocol stack. Thus, the dynamically routable VIPA routing function may be used with non-distributed (existing) dynamic VIPAs to allow immediate movement of a
10 dynamic VIPA from a first protocol stack to a second protocol stack without requiring that all connections to the VIPA at the first protocol stack be terminated.
15 Also, the routing function may allow connections to the first stack to be maintained and new connections created to the second protocol stack by routing the old connections to the first protocol stack until they terminate. Thus, a gradual, non-disruptive takeback of
20 connections may be achieved.

Figures 11 and 12 illustrate operations of a communication protocol stack to facilitate the moveable
25 VIPA. As seen in Figure 11, when a dynamic VIPA is initialized, by a protocol stack it may be determined if the VIPA is a moveable nondisruptive VIPA (block 500). Initialization of the VIPA may occur, for example, by an application binding to a VIPA in a VIPA range which is
30 defined as MOVEable NONDIRECTIVE. If so, then the VIPA may be advertised to the routing protocol (block 502). Alternatively, if the IP gateway of a cluster of data processing systems is OSA Express using Queued Direct I/O, the IP Assist function may automatically update the
35 OSA Express adapter when a "home list" of a protocol

stack is updated. Thus, in such an automatic update scenario, the operations of block 502 may be skipped. It may also be determined if the VIPA is active on another stack (block 504). Such a determination may be made by previous messages from the other stack advertising the existence of the VIPA. If the VIPA is not active on another stack, then the current stack may establish connections using the VIPA without using the other stack as routing stack (block 510). The current stack may also create routing and destination port tables as described above in the event that the VIPA is moved to another stack or in the event that other stacks look to the current stack as a routing communication protocol stack.

If there is a VIPA on another stack (block 504), then the current stack receives connection administration messages from the other stack or stacks identifying existing connections to the stack (block 506). The current stack builds a routing table from these connection administration messages and routes information to these existing connections (block 508). Such a communication sequence may result from the advertisement that the current stack owns the VIPA. The current stack may also receive subsequent requests for connections to the VIPA and termination messages for existing connections to the VIPA so as to manage routing of information to the appropriate communication protocol stacks as described herein. Thus, ownership of the VIPA may be immediately transferred to a new communication protocol stack without disrupting existing connections.

Figure 12 illustrates operations of a communication protocol stack which owns a VIPA in response to a new communication protocol stack claiming ownership. As seen in **Figure 12**, notification of the VIPA on another communication protocol stack is received (block 520) and

the VIPA is associated with the new communication protocol stack (block 522) such that all messages concerning new or existing connections are sent to the new communication protocol stack. It may also be
5 determined if there are existing connections to the VIPA (block 524). If no connections exist, then the transfer of ownership is complete merely by associating the VIPA with the new communication protocol stack and deleting the DVIPA from the current communication protocol stack
10 (block 525). However, if connections exist, then an existing connection message is sent to the new communication protocol (block 526). As described herein, such a message may be for all connections associated with the stack or only for those which the stack is an endpoint node. Such a message may be a NEWCONN message
15 as described above. Furthermore, if the current stack was performing any routing functions, these functions are also transferred to the new communication protocol stack and so the routing tables and destination port tables of the current communication protocol stack may be purged of
20 the connections (block 528).

As an example of operations for a moveable VIPA according to the present invention, assume that the communication protocol stack 38, which functions as a primary routing communication protocol stack for DVIPA DVB1, has not been started. Also assume that the communication protocol stack 30 is initialized and an instance APP B started and binds to a VIPA in the VIPARange statement, such as DVB1. In this case,
25 connections to DVB1 would be established to the communication protocol stack 30. Subsequently, when the communication protocol stack 26 was initialized and an instance of APP B bound to DVB1, the communication
30 protocol stack 26 would send a VIPA list identifying the

communication protocol stack 26 as the owner of the VIPA and, in response, the communication protocol stack 30 would send a NEWCONN message. The communication protocol stack 26 would receive the NEWCONN message and

5 incorporate a route for the connection to the communication protocol stack 30 into its routing tables. The communication protocol stack 30 would send all subsequent messages regarding the connection to the communication protocol stack 26. When the communication

10 protocol stack 38 is initialized, it would assume ownership of the VIPA as the primary routing communication protocol stack and would send a VIPA list to the other communication protocol stacks identifying itself as such. It may also send a takeback message as well to take ownership of the VIPA. The communication

15 protocol stacks 30 and 26 which have existing connections to the VIPA would send a message identifying the existing connections to the communication protocol stack 38 which would incorporate routing paths for the connections into its routing table. Subsequent messages regarding the

20 existing connections would be sent to the communication protocol stack 38 and subsequent connections would be made through the communication protocol stack 38. Thus, ownership of the VIPA was transferred nondisruptively

25 from the communication protocol stack 30 to the communication protocol stack 26 to the communication protocol stack 38.

As used herein, the term "connection administration message" refers to messages between communication

30 protocol stacks which are utilized to manage the routing of TCP/IP messages between the communication protocol stacks. Thus, for example, the NEWCONN, TERMCONN and VIPA lists may be considered connection administration messages.

DRAFT - 08/27/00

While the present invention has been described with respect to the VIPA distribution function as a part of the communication protocol stack, as will be appreciated by those of skill in the art, such functions may be provided as separate functions, objects or applications which may cooperate with the communication protocol stacks. Furthermore, the present invention has been described with reference to particular sequences of operations. However, as will be appreciated by those of skill in the art, other sequences may be utilized while still benefitting from the teachings of the present invention. Thus, while the present invention is described with respect to a particular division of functions or sequences of events, such divisions or sequences are merely illustrative of particular embodiments of the present invention and the present invention should not be construed as limited to such embodiments.

Furthermore, while the present invention has been described with reference to particular embodiments of the present invention in a System/390 environment, as will be appreciated by those of skill in the art, the present invention may be embodied in other environments and should not be construed as limited to System/390 but may be incorporated into other systems, such as a Unix or other environments by associating applications or groups of applications with an address rather than a communications adapter. Thus, the present invention may be suitable for use in any collection of data processing systems which allow sufficient communication to all of for the use of dynamic virtual addressing. Accordingly, specific references to System/390 systems or facilities, such as the "coupling facility," "ESCON," "Sysplex" or the like should not be construed as limiting the present invention.

In the drawings and specification, there have been disclosed typical preferred embodiments of the invention and, although specific terms are employed, they are used in a generic and descriptive sense only and not for purposes of limitation, the scope of the invention being set forth in the following claims.

5

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THAT WHICH IS CLAIMED IS:

1. A method of recovering from a failure of a primary routing communication protocol stack which routes communications over connections to a virtual Internet Protocol address (VIPA) and at least one port associated with the VIPA to a plurality of other communication protocol stacks associated by the routing communication protocol stack with the VIPA and the at least one port, the method comprising:

5 identifying at least one of a plurality of communication protocol stacks other than the primary routing communication protocol stack in a cluster of data processing systems containing the primary routing communication protocol stack as a backup routing communication protocol stack;

10 storing at the backup routing communication protocol stack an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks;

15 receiving messages at the backup routing communication protocol stack identifying ones of the communication protocol stacks having application instances bound to the VIPA and listening on the at least one port as current actual target stacks;

20 identifying connections to the VIPA and the at least one port for current actual target stacks;

25 constructing a routing table from the received messages identifying the connections to the VIPA so as to provide routing path information to current actual target stacks associated with the connection; and

30 routing messages on the connections to the VIPA and the at least one port to the current actual target stacks associated with the connections through the backup

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routing communication protocol stack utilizing the constructed routing table.

2. A method according to Claim 1, wherein the step
5 of identifying connections to the VIPA comprises the step of receiving messages from the current actual target stacks identifying connections to the VIPA and the at least one port associated with the current actual target stacks.

10 3. A method according to Claim 1, further comprising the step of:

15 receiving a list of communication protocol stack addresses which are associated with the VIPA and the at least one port; and

20 wherein the step of storing at the backup routing communication protocol an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks comprises the step of storing the received list of communication protocol stack addresses.

25 4. A method according to Claim 3, wherein the list further includes identification of the VIPA and ports associated with the VIPA.

5. A method according to Claim 1, further comprising the step of:

30 defining, at the backup routing communication protocol stack, an identification of communication protocol stacks which are associated with the VIPA and the at least one port so as to provide a backup list of candidate target stacks which is different from the candidate target stacks of the primary routing communication protocol stacks; and

wherein the step of storing at the backup routing communication protocol an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks comprises the step of
5 storing the backup list of candidate target stacks.

6. A method according to Claim 5, wherein the communication protocol stacks identified in the backup list of candidate target stacks are selected to reduce disruption of the cluster of data processing systems associated with the communication protocol stacks by failure of the primary routing communication protocol stack.
10

15 7. A method according to Claim 1, further comprising the step of sending the stored list to the plurality of communication protocol stacks in the cluster of data processing systems.

20 8. A method according to Claim 7, wherein the communication protocol stacks in the cluster of data processing systems carry out the following steps responsive to receiving the list from the backup routing communication protocol stack:
25

transmitting messages to the backup routing communication protocol stack identifying ones of the communication protocol stacks in the cluster of data processing systems which are identified on the list and which have application instances bound to the VIPA and listening on the at least one port;
30

transmitting messages to the backup routing communication protocol stack identifying connections to the VIPA and the at least one port; and
35

associating the backup routing communication protocol stack with the VIPA and the at least one port so

as to send subsequent messages associated with the VIPA and the at least one port to the backup routing communication protocol stack.

5 9. A method according to Claim 1, further comprising the steps of:

detecting recovery of the primary routing communication protocol stack; and

10 transferring routing of connections to the VIPA and the at least one port back to primary routing communication protocol stack upon detection of recovery of the primary routing communication protocol stack.

15 10. A method according to Claim 9, wherein the steps of detecting recovery and transferring routing comprise the steps of:

20 receiving, at the backup routing communication protocol stack, an identification of communication protocol stacks associated with the VIPA and the at least one port which are being routed by the backup routing communication protocol stack from the primary routing communication protocol stack;

25 associating the primary routing communication protocol stack with the VIPA and the at least one port at communication protocol stacks having connections to the VIPA and the at least one port or identified in the identification from the primary routing communication protocol stack as associated with the VIPA and the at least one port so as to cause subsequent messages associated with the VIPA and the at least one port to be sent to the primary routing communication protocol stack;

30 identifying connections to the VIPA and the at least one port which are routed by the backup communication protocol stack;

constructing a routing table at the primary routing communication protocol stack from the received identification of the connections to the VIPA so as to provide routing path information to current actual target stacks associated with the connection; and

routing messages on the connections to the VIPA and the at least one port to the current actual target stacks associated with the connections through the primary routing communication protocol stack utilizing the constructed routing table.

11. A method of recovering from a failure of a primary routing communication protocol stack which routes messages to a predefined virtual IP address (VIPA) to a predefined set of candidate target communication protocol stacks, the method comprising:

defining a backup routing communication protocol stack which takes ownership of routing functions for the VIPA in the event of failure of the primary routing communication protocol stack;

detecting failure of the primary routing communication protocol stack;

determining, at the backup routing communication protocol stack, connections to the VIPA which are associated with the primary routing communication protocol stack;

routing the determined connections to communication protocol stacks associated with the connections through the backup routing communication protocol stack;

30 establishing a second set of candidate target communication protocol stacks which is different from the predefined set of candidate target communication protocol stacks and associated with the backup routing communication protocol stack;

- DRAFT-08 - SECTION 960
- receiving a request for a new connection to the VIPA;
- 5 selecting a communication protocol stack from the second set of candidate communication protocol stacks as a destination for the new connection to the VIPA; and
- routing messages associated with the new connection to the selected communication protocol stack through the backup routing communication protocol stack.
- 10 12. A method according to Claim 11, wherein the second set of candidate target communication protocol stacks are selected to reduce disruption of a cluster of data processing systems associated with the communication protocol stacks by failure of the primary routing communication protocol stack.
- 15 13. A method according to Claim 11, further comprising the step of sending an identification of the second set of candidate target communication protocol stacks to other communication protocol stacks in a cluster of data processing systems.
- 20 14. A method according to Claim 13, wherein the other communication protocol stacks carry out the following steps responsive to receiving the second set of candidate target communication protocol stacks from the backup routing communication protocol stack:
- transmitting messages to the backup routing communication protocol stack identifying ones of the other communication protocol stacks which have application instances bound to the VIPA and listening on a port of the VIPA;
- transmitting messages to the backup routing communication protocol stack identifying connections to the VIPA; and

associating the backup routing communication protocol stack with the VIPA so as to send subsequent messages associated with the VIPA and the at least one port to the backup routing communication protocol stack.

5

15. A method according to Claim 11, further comprising the steps of:

detecting recovery of the primary routing communication protocol stack; and

10

transferring routing of connections to the VIPA back to primary routing communication protocol stack upon detection of recovery of the primary routing communication protocol stack.

15

16. A method according to Claim 15, wherein the steps of detecting recovery and transferring routing comprise the steps of:

20

receiving, at the backup routing communication protocol stack, an identification of candidate target communication protocol stacks associated with the VIPA from the primary routing communication protocol stack;

25

associating the primary routing communication protocol stack with the VIPA at communication protocol stacks having connections to the VIPA or identified in the received identification of candidate target communication protocol stacks from the primary routing communication protocol stack so as to cause subsequent messages associated with the VIPA to be sent to the primary routing communication protocol stack;

30

identifying connections to the VIPA which are routed by the backup communication protocol stack;

35

constructing a routing table at the primary routing communication protocol stack from the received identification of the connections to the VIPA so as to provide routing path information for the connections; and

routing messages on the connections to the VIPA to the communication protocol stacks associated with the connections through the primary routing communication protocol stack utilizing the constructed routing table.

5

17. A system for recovering from a failure of a primary routing communication protocol stack which routes communications over connections to a virtual Internet Protocol address (VIPA) and at least one port associated with the VIPA to a plurality of other communication protocol stacks associated by the routing communication protocol stack with the VIPA and the at least one port, comprising:

means for identifying at least one of a plurality of communication protocol stacks other than the primary routing communication protocol stack in a cluster of data processing systems containing the primary routing communication protocol stack as a backup routing communication protocol stack;

means for storing at the backup routing communication protocol stack an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks;

means for receiving messages at the backup routing communication protocol stack identifying ones of the communication protocol stacks having application instances bound to the VIPA and listening on the at least one port as current actual target stacks;

means for identifying connections to the VIPA and the at least one port for current actual target stacks;

means for constructing a routing table from the received messages identifying the connections to the VIPA so as to provide routing path information to current actual target stacks associated with the connection; and

means for routing messages on the connections to the VIPA and the at least one port to the current actual target stacks associated with the connections through the backup routing communication protocol stack utilizing the constructed routing table.

18. A system according to Claim 17, wherein the means for identifying connections to the VIPA comprises means for receiving messages from the current actual target stacks identifying connections to the VIPA and the at least one port associated with the current actual target stacks.

19. A system according to Claim 17, further comprising:

means for receiving a list of communication protocol stack addresses which are associated with the VIPA and the at least one port; and

wherein the means for storing at the backup routing communication protocol an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks comprises means for storing the received list of communication protocol stack addresses.

20. A system according to Claim 19, wherein the list further includes identification of the VIPA and ports associated with the VIPA.

21. A system according to Claim 17, further comprising:

means for defining, at the backup routing communication protocol stack, an identification of communication protocol stacks which are associated with the VIPA and the at least one port so as to provide a

backup list of candidate target stacks which is different from the candidate target stacks of the primary routing communication protocol stacks; and

5 wherein the means for storing at the backup routing communication protocol an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks comprises means for storing the backup list of candidate target stacks.

10 22. A system according to Claim 21, wherein the communication protocol stacks identified in the backup list of candidate target stacks are selected to reduce disruption of the cluster of data processing systems associated with the communication protocol stacks by failure of the primary routing communication protocol stack.

15 23. A system according to Claim 17, further comprising means for sending the stored list to the plurality of communication protocol stacks in the cluster 20 of data processing systems.

24. A system according to Claim 23, further comprising:

25 means for transmitting messages to the backup routing communication protocol stack identifying ones of the communication protocol stacks in the cluster of data processing systems which are identified on the list and which have application instances bound to the VIPA and 30 listening on the at least one port;

means for transmitting messages to the backup routing communication protocol stack identifying connections to the VIPA and the at least one port; and
means for associating the backup routing

35 communication protocol stack with the VIPA and the at

least one port so as to send subsequent messages associated with the VIPA and the at least one port to the backup routing communication protocol stack.

5 25. A system according to Claim 17, further comprising:

means for detecting recovery of the primary routing communication protocol stack; and

10 means for transferring routing of connections to the VIPA and the at least one port back to primary routing communication protocol stack upon detection of recovery of the primary routing communication protocol stack.

15 26. A system according to Claim 25, wherein the means for detecting recovery and transferring routing comprise:

20 means for receiving, at the backup routing communication protocol stack, an identification of communication protocol stacks associated with the VIPA and the at least one port which are being routed by the backup routing communication protocol stack from the primary routing communication protocol stack;

25 means for associating the primary routing communication protocol stack with the VIPA and the at least one port at communication protocol stacks having connections to the VIPA and the at least one port or identified in the identification from the primary routing communication protocol stack as associated with the VIPA and the at least one port so as to cause subsequent 30 messages associated with the VIPA and the at least one port to be sent to the primary routing communication protocol stack;

35 means for identifying connections to the VIPA and the at least one port which are routed by the backup communication protocol stack;

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- means for constructing a routing table at the primary routing communication protocol stack from the received identification of the connections to the VIPA so as to provide routing path information to current actual target stacks associated with the connection; and
- 5 means for routing messages on the connections to the VIPA and the at least one port to the current actual target stacks associated with the connections through the primary routing communication protocol stack utilizing the constructed routing table.
- 10
27. A system for recovering from a failure of a primary routing communication protocol stack which routes messages to a predefined virtual IP address (VIPA) to a predefined set of candidate target communication protocol stacks, comprising:
- 15 means for defining a backup routing communication protocol stack which takes ownership of routing functions for the VIPA in the event of failure of the primary routing communication protocol stack;
- 20 means for detecting failure of the primary routing communication protocol stack;
- means for determining, at the backup routing communication protocol stack, connections to the VIPA which are associated with the primary routing communication protocol stack;
- 25
- 30 means for routing the determined connections to communication protocol stacks associated with the connections through the backup routing communication protocol stack;
- means for establishing a second set of candidate target communication protocol stacks which is different from the predefined set of candidate target communication protocol stacks and associated with the backup routing communication protocol stack;
- 35

- INDUSTRIAL DESIGN
- means for receiving a request for a new connection to the VIPA;
- 5 selecting a communication protocol stack from the second set of candidate communication protocol stacks as a destination for the new connection to the VIPA; and
- means for routing messages associated with the new connection to the selected communication protocol stack through the backup routing communication protocol stack.
- 10 28. A system according to Claim 27, wherein the second set of candidate target communication protocol stacks are selected to reduce disruption of a cluster of data processing systems associated with the communication protocol stacks by failure of the primary routing communication protocol stack.
- 15 29. A system according to Claim 27, further comprising means for sending an identification of the second set of candidate target communication protocol stacks to other communication protocol stacks in a cluster of data processing systems.
- 20 30. A system according to Claim 29, further comprising:
- 25 means for transmitting messages to the backup routing communication protocol stack identifying ones of the other communication protocol stacks which have application instances bound to the VIPA and listening on a port of the VIPA;
- 30 means for transmitting messages to the backup routing communication protocol stack identifying connections to the VIPA; and
- 35 means for associating the backup routing communication protocol stack with the VIPA so as to send subsequent messages associated with the VIPA and the at

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least one port to the backup routing communication protocol stack.

31. A system according to Claim 27, further
5 comprising:

means for detecting recovery of the primary routing communication protocol stack; and

10 means for transferring routing of connections to the VIPA back to primary routing communication protocol stack upon detection of recovery of the primary routing communication protocol stack.

32. A system according to Claim 31, wherein the
means for detecting recovery and the means for
15 transferring routing comprise:

20 means for receiving, at the backup routing communication protocol stack, an identification of candidate target communication protocol stacks associated with the VIPA from the primary routing communication protocol stack;

25 means for associating the primary routing communication protocol stack with the VIPA at communication protocol stacks having connections to the VIPA or identified in the received identification of candidate target communication protocol stacks from the primary routing communication protocol stack so as to cause subsequent messages associated with the VIPA to be sent to the primary routing communication protocol stack;

30 means for identifying connections to the VIPA which are routed by the backup communication protocol stack;

35 means for constructing a routing table at the primary routing communication protocol stack from the received identification of the connections to the VIPA so as to provide routing path information for the connections; and

means for routing messages on the connections to the VIPA to the communication protocol stacks associated with the connections through the primary routing communication protocol stack utilizing the constructed routing table.

5

33. A computer program product for recovering from a failure of a primary routing communication protocol stack which routes communications over connections to a virtual Internet Protocol address (VIPA) and at least one port associated with the VIPA to a plurality of other communication protocol stacks associated by the routing communication protocol stack with the VIPA and the at least one port, comprising:

10 a computer readable storage medium having computer readable program code embodied therein, the computer readable program code comprising:

15 computer readable program code which identifies at least one of a plurality of communication protocol stacks other than the primary routing communication protocol stack in a cluster of data processing systems containing the primary routing communication protocol stack as a backup routing communication protocol stack;

20 computer readable program code which stores at the backup routing communication protocol stack an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks;

25 computer readable program code which receives messages at the backup routing communication protocol stack identifying ones of the communication protocol stacks having application instances bound to the VIPA and listening on the at least one port as current actual target stacks;

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computer readable program code which identifies connections to the VIPA and the at least one port for current actual target stacks;

5 computer readable program code which constructs a routing table from the received messages identifying the connections to the VIPA so as to provide routing path information to current actual target stacks associated with the connection; and

10 computer readable program code which routes messages on the connections to the VIPA and the at least one port to the current actual target stacks associated with the connections through the backup routing communication protocol stack utilizing the constructed routing table.

15 34. A computer program product according to Claim 33, wherein the computer readable program code which identifies connections to the VIPA comprises computer readable program code which receives messages from the current actual target stacks identifying connections to the VIPA and the at least one port associated with the current actual target stacks.

20 35. A computer program product according to Claim 33, further comprising:

25 computer readable program code which receives a list of communication protocol stack addresses which are associated with the VIPA and the at least one port; and

30 wherein the computer readable program code which stores at the backup routing communication protocol an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks comprises computer readable program code which stores the received list of communication protocol stack addresses.

36. A computer program product according to Claim 35, wherein the list further includes identification of the VIPA and ports associated with the VIPA.

5 37. A computer program product according to Claim 33, further comprising:

10 computer readable program code which defines defining, at the backup routing communication protocol stack, an identification of communication protocol stacks which are associated with the VIPA and the at least one port so as to provide a backup list of candidate target stacks which is different from the candidate target stacks of the primary routing communication protocol stacks; and

15 wherein the computer readable program code which stores at the backup routing communication protocol an identification of communication protocol stacks associated with the VIPA and the at least one port as candidate target stacks comprises computer readable program code which stores the backup list of candidate target stacks.

25 38. A computer program product according to Claim 37, wherein the communication protocol stacks identified in the backup list of candidate target stacks are selected to reduce disruption of the cluster of data processing systems associated with the communication protocol stacks by failure of the primary routing communication protocol stack.

30 39. A computer program product according to Claim 33, further comprising computer readable program code which sends sending the stored list to the plurality of communication protocol stacks in the cluster of data processing systems.

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40. A computer program product according to Claim
39, further comprising:
- computer readable program code which transmitts
messages to the backup routing communication protocol
stack identifying ones of the communication protocol
stacks in the cluster of data processing systems which
are identified on the list and which have application
instances bound to the VIPA and listening on the at least
one port;
- 10 computer readable program code which transmitts
messages to the backup routing communication protocol
stack identifying connections to the VIPA and the at
least one port; and
- 15 computer readable program code which associates the
backup routing communication protocol stack with the VIPA
and the at least one port so as to send subsequent
messages associated with the VIPA and the at least one
port to the backup routing communication protocol stack.
- 20 41. A computer program product according to Claim
33, further comprising:
- computer readable program code which detects
recovery of the primary routing communication protocol
stack; and
- 25 computer readable program code which transfers
routing of connections to the VIPA and the at least one
port back to primary routing communication protocol stack
upon detection of recovery of the primary routing
communication protocol stack.
- 30 42. A computer program product according to Claim
41, wherein the computer readable program code which
detects recovery and transferring routing comprise:
- computer readable program code which receives, at
35 the backup routing communication protocol stack, an

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identification of communication protocol stacks associated with the VIPA and the at least one port which are being routed by the backup routing communication protocol stack from the primary routing communication protocol stack;

5 computer readable program code which associates the primary routing communication protocol stack with the VIPA and the at least one port at communication protocol stacks having connections to the VIPA and the at least 10 one port or identified in the identification from the primary routing communication protocol stack as associated with the VIPA and the at least one port so as to cause subsequent messages associated with the VIPA and the at least one port to be sent to the primary routing communication protocol stack;

15 computer readable program code which identifies connections to the VIPA and the at least one port which are routed by the backup communication protocol stack;

20 computer readable program code which constructs a routing table at the primary routing communication protocol stack from the received identification of the connections to the VIPA so as to provide routing path information to current actual target stacks associated with the connection; and

25 computer readable program code which routes messages on the connections to the VIPA and the at least one port to the current actual target stacks associated with the connections through the primary routing communication protocol stack utilizing the constructed routing table.

30 43. A computer program product for recovering from a failure of a primary routing communication protocol stack which routes messages to a predefined virtual IP address (VIPA) to a predefined set of candidate target 35 communication protocol stacks, comprising:

- 00000000000000000000000000000000
- a computer readable medium having computer readable program code embodied therein, the computer readable program code comprising:
- 5 computer readable program code which defines a backup routing communication protocol stack which takes ownership of routing functions for the VIPA in the event of failure of the primary routing communication protocol stack;
- 10 computer readable program code which detects failure of the primary routing communication protocol stack;
- 15 computer readable program code which determines, at the backup routing communication protocol stack, connections to the VIPA which are associated with the primary routing communication protocol stack;
- 20 computer readable program code which routes the determined connections to communication protocol stacks associated with the connections through the backup routing communication protocol stack;
- 25 computer readable program code which establishes a second set of candidate target communication protocol stacks which is different from the predefined set of candidate target communication protocol stacks and associated with the backup routing communication protocol stack;
- 30 computer readable program code which receives a request for a new connection to the VIPA;
- selecting a communication protocol stack from the second set of candidate communication protocol stacks as a destination for the new connection to the VIPA; and
- computer readable program code which routes messages associated with the new connection to the selected communication protocol stack through the backup routing communication protocol stack.

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44. A computer program product according to Claim
43, wherein the second set of candidate target
communication protocol stacks are selected to reduce
disruption of a cluster of data processing systems
5 associated with the communication protocol stacks by
failure of the primary routing communication protocol
stack.

10 45. A computer program product according to Claim
43, further comprising computer readable program code
which sends an identification of the second set of
candidate target communication protocol stacks to other
communication protocol stacks in a cluster of data
processing systems.

15 46. A computer program product according to Claim
45, further comprising:

20 computer readable program code which transmits
messages to the backup routing communication protocol
stack identifying ones of the other communication
protocol stacks which have application instances bound to
the VIPA and listening on a port of the VIPA;
25 computer readable program code which transmits
messages to the backup routing communication protocol
stack identifying connections to the VIPA; and
computer readable program code which associates the
backup routing communication protocol stack with the VIPA
so as to send subsequent messages associated with the
VIPA and the at least one port to the backup routing
30 communication protocol stack.

47. A computer program product according to Claim
43, further comprising:

- computer readable program code which detects
recovery of the primary routing communication protocol
stack; and
- 5 computer readable program code which transfers
routing of connections to the VIPA back to primary
routing communication protocol stack upon detection of
recovery of the primary routing communication protocol
stack.
- 10 48. A computer program product according to Claim
47, wherein the computer readable program code which
detects recovery and the computer readable program code
which transfers routing comprise:
- 15 computer readable program code which receives, at
the backup routing communication protocol stack, an
identification of candidate target communication protocol
stacks associated with the VIPA from the primary routing
communication protocol stack;
- 20 computer readable program code which associates the
primary routing communication protocol stack with the
VIPA at communication protocol stacks having connections
to the VIPA or identified in the received identification
of candidate target communication protocol stacks from
the primary routing communication protocol stack so as to
cause subsequent messages associated with the VIPA to be
25 sent to the primary routing communication protocol stack;
- 30 computer readable program code which identifies
connections to the VIPA which are routed by the backup
communication protocol stack;
- computer readable program code which constructs a
routing table at the primary routing communication
protocol stack from the received identification of the
connections to the VIPA so as to provide routing path
information for the connections; and

computer readable program code which routes messages
on the connections to the VIPA to the communication
protocol stacks associated with the connections through
the primary routing communication protocol stack
utilizing the constructed routing table.

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METHODS, SYSTEMS AND COMPUTER PROGRAM PRODUCTS FOR
FAILURE RECOVERY FOR ROUTED VIRTUAL INTERNET PROTOCOL
ADDRESSES

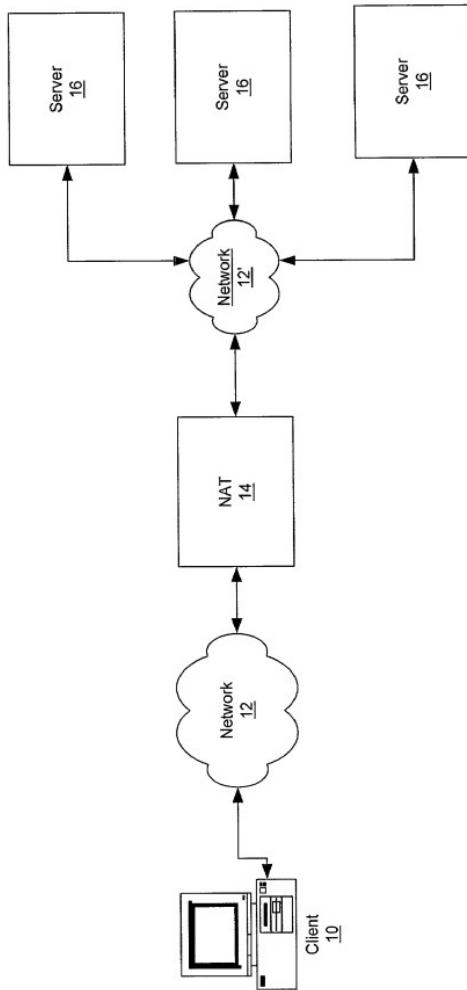
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Abstract of the Disclosure

Methods, systems and computer program products provide for recovery from a failure of a primary routing communication protocol stack which routes communications over connections to a virtual Internet Protocol address (VIPA) and at least one port associated with the VIPA to a plurality of other communication protocol stacks associated by the primary routing stack and with the VIPA and the at least one port. At least one backup routing communication protocol stack is identified. The backup routing stack stores an identification of stacks associated with the VIPA and the at least one port as candidate target stacks. Messages are received at the backup routing stack identifying stacks having application instances bound to the VIPA and listening on the at least one port as current actual target stacks. Connections to the VIPA and the at least one port for current actual target stacks are also identified and a routing table constructed from the received messages so as to provide routing path information to current actual target stacks associated with the connection. Messages on the connections to the VIPA and the at least one port are routed through the backup stack utilizing the constructed routing table.

GOVT USE - SEE 049610

Figure 1



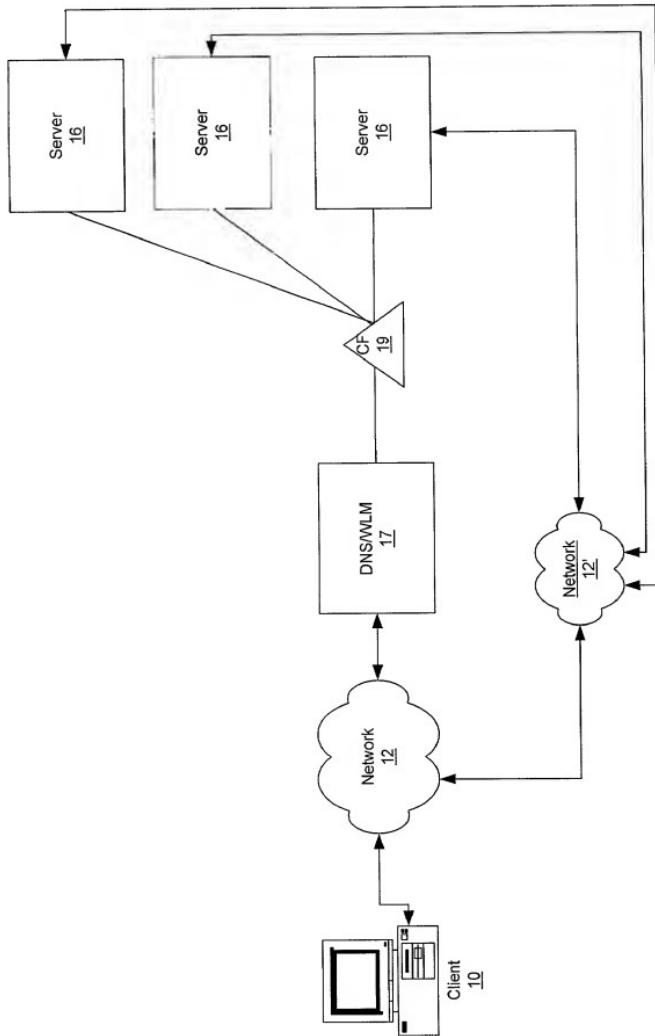
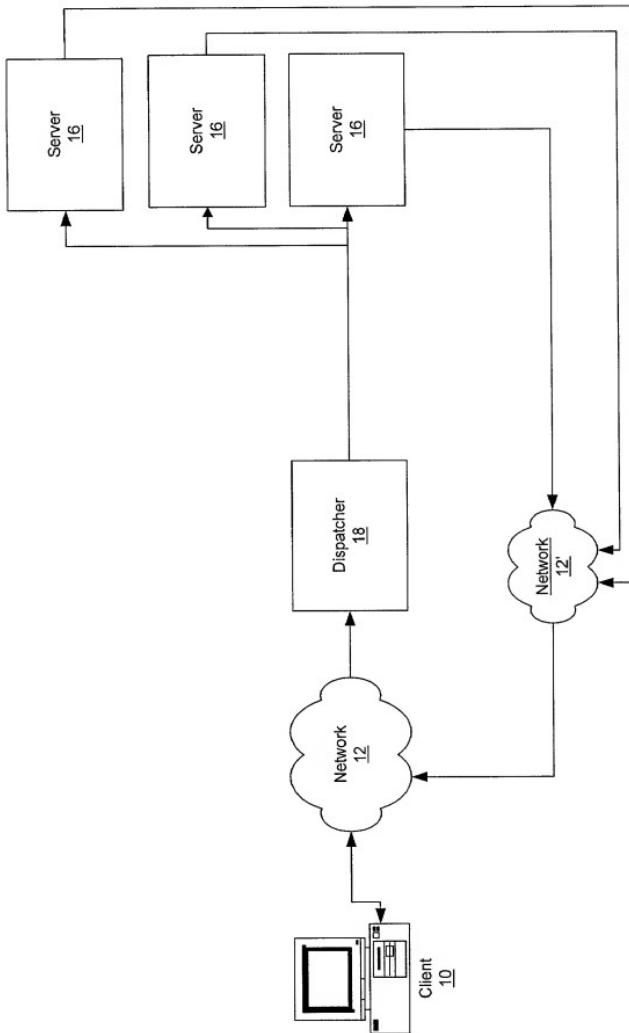


Figure 2

Figure 3



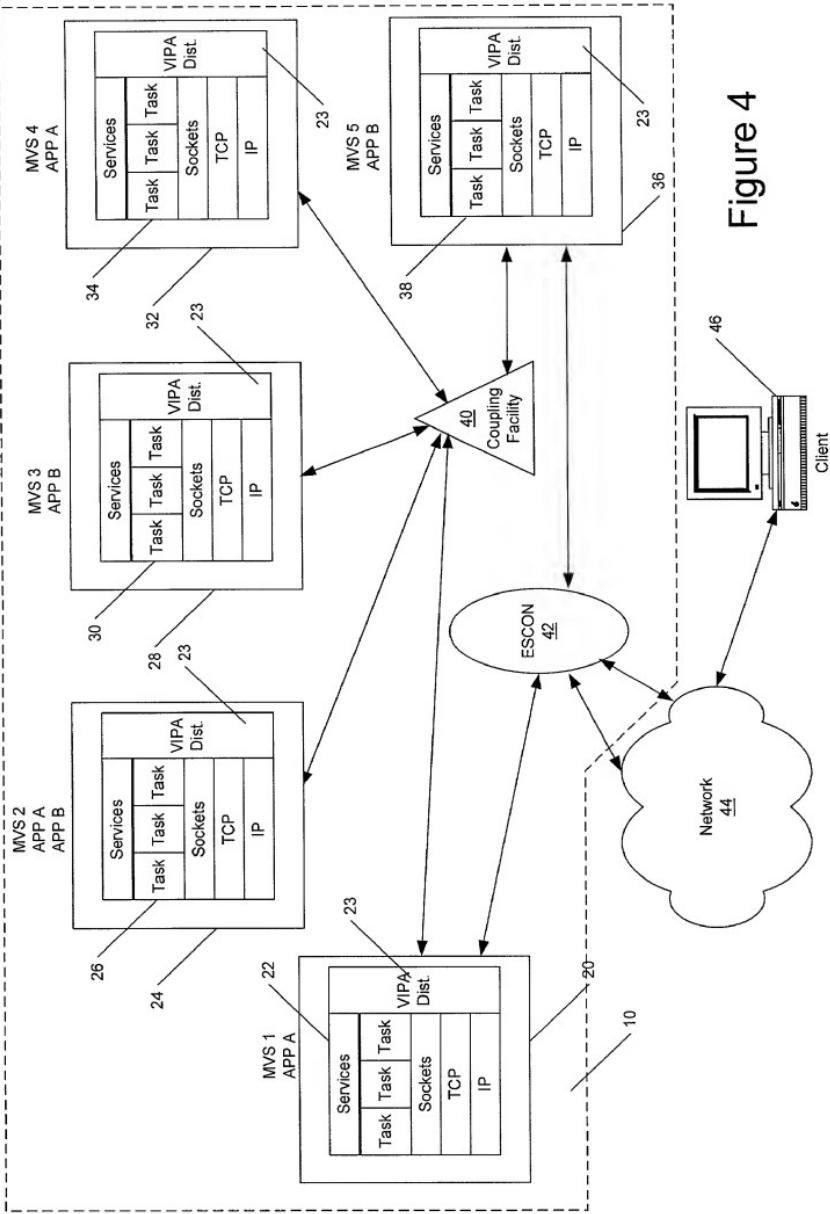


Figure 4

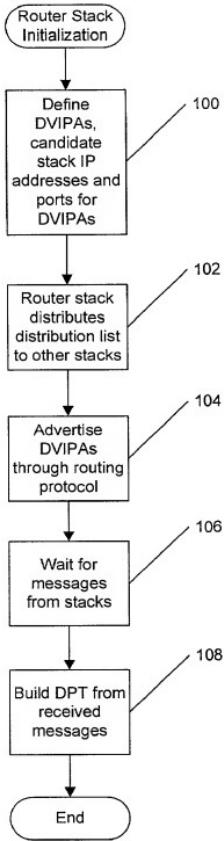
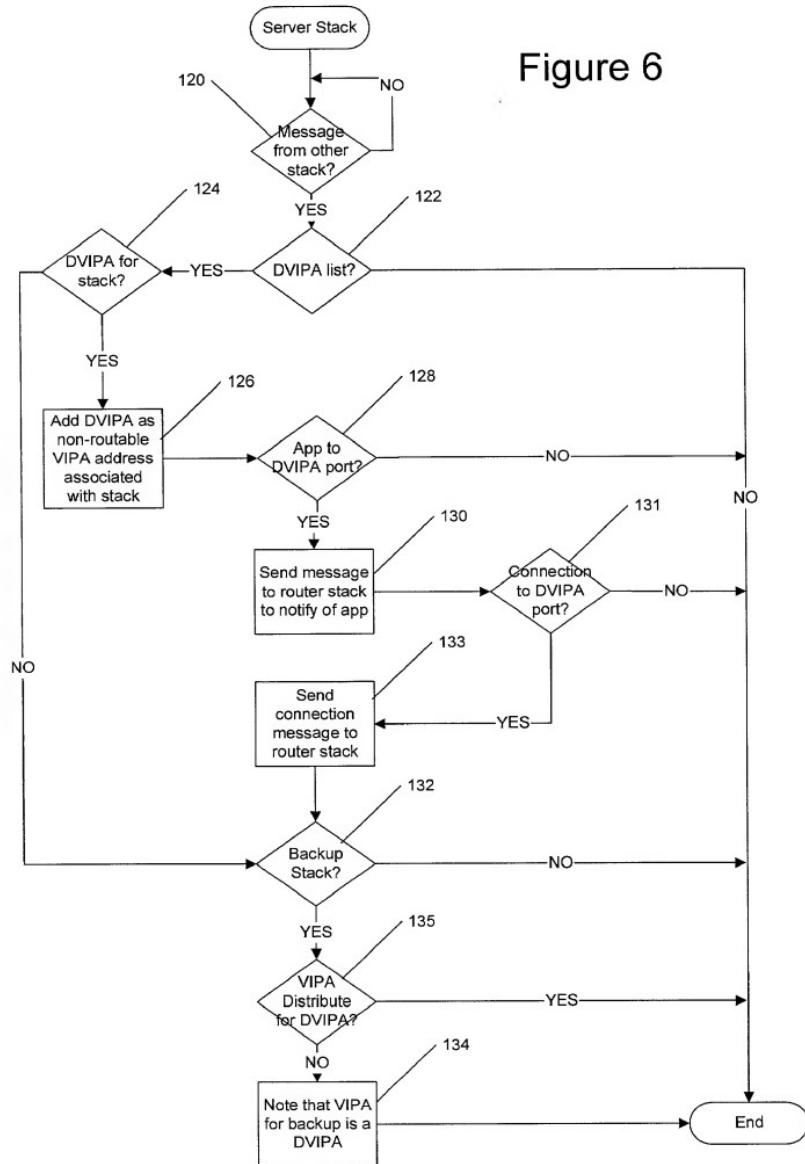


Figure 5

Figure 6



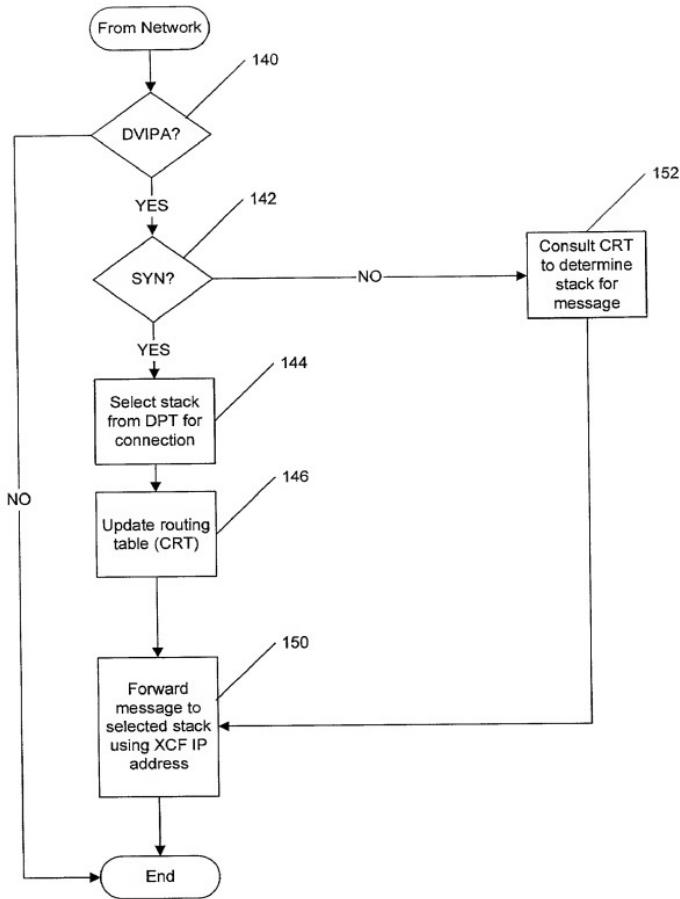


Figure 7

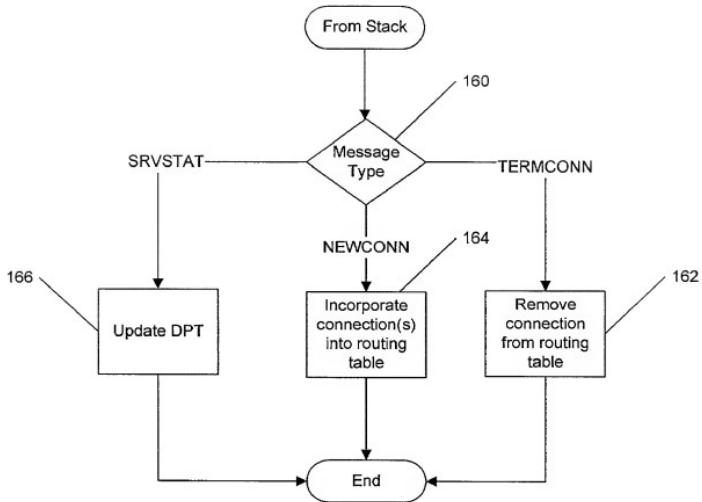


Figure 8

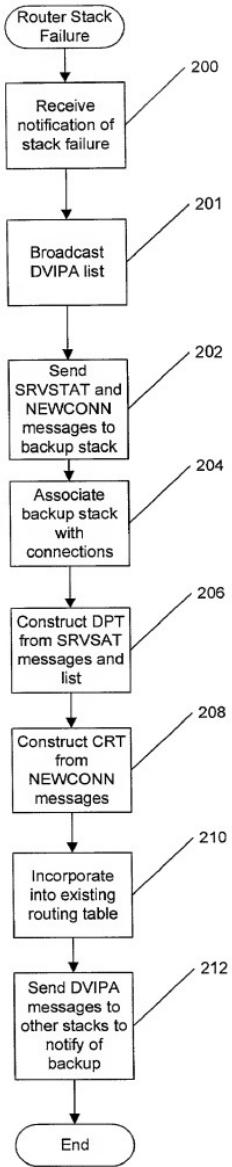


Figure 9

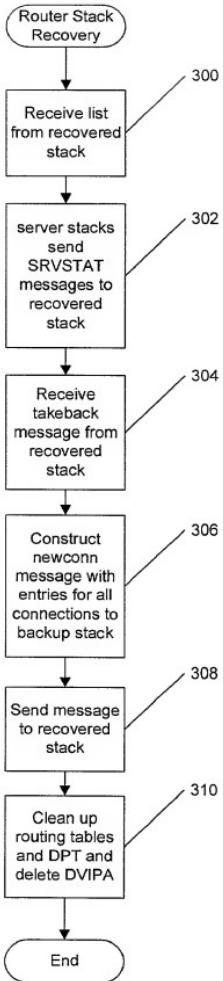


Figure 10

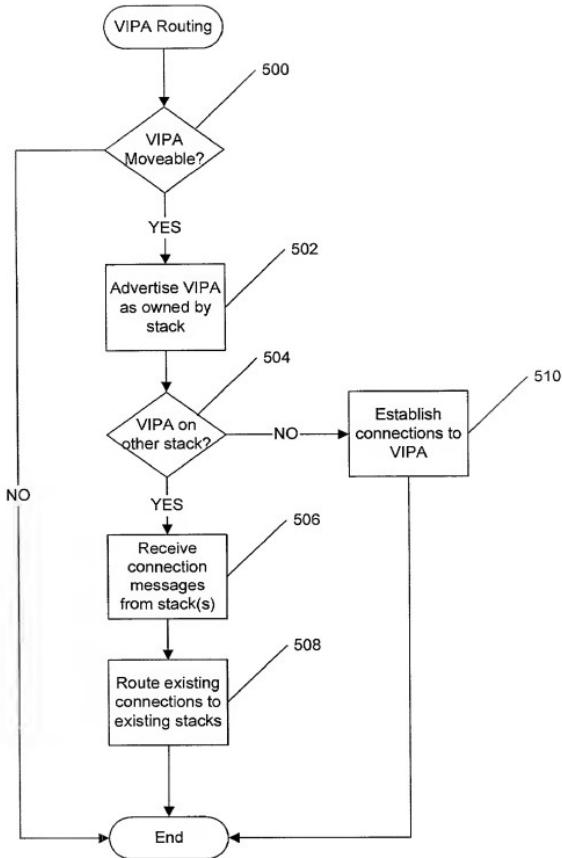


Figure 11

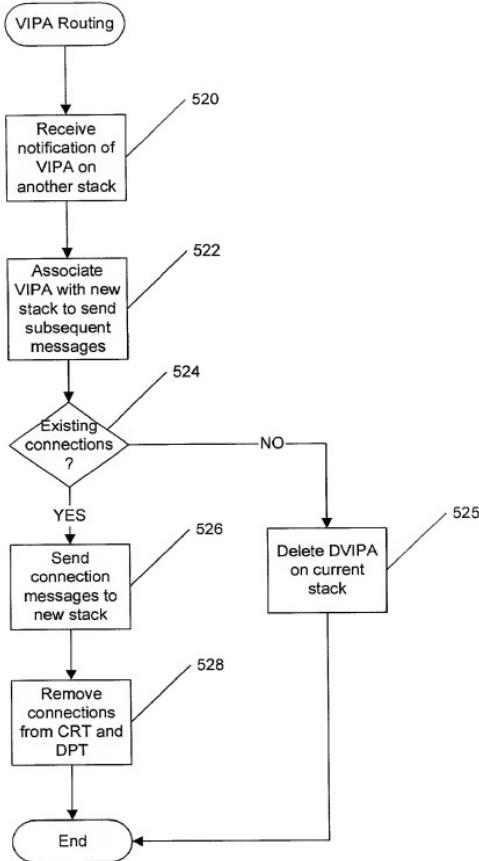


Figure 12

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

Attorney Docket No. 5577-206

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **METHODS, SYSTEMS AND COMPUTER PROGRAM PRODUCTS FOR FAILURE RECOVERY FOR ROUTED VIRTUAL INTERNET PROTOCOL ADDRESSES,**

the specification of which

is attached hereto

OR

was filed on _____ as United States Application No. _____ or PCT International Application Number _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application for patent or inventor's certificate, or of any PCT International application having a filing date before that of the application on which priority is claimed.

None			<input type="checkbox"/> Yes <input type="checkbox"/> No
Number	Country	MM/DD/YYYY Filed	Priority Claimed

			<input type="checkbox"/> Yes <input type="checkbox"/> No
Number	Country	MM/DD/YYYY Filed	Priority Claimed

			<input type="checkbox"/> Yes <input type="checkbox"/> No
Number	Country	MM/DD/YYYY Filed	Priority Claimed

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below.

None	
Application Number(s)	Filing Date (MM/DD/YYYY)

Application Number(s)	Filing Date (MM/DD/YYYY)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application (37 C.F.R. § 1.63(d)).

None		
Appln. Serial No.	Filing Date	Status Patented/Pending/Abandoned

Appln. Serial No.	Filing Date	Status Patented/Pending/Abandoned

Appln. Serial No.	Filing Date	Status Patented/Pending/Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following registered attorney(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

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USPTO - 2000-0083-US1

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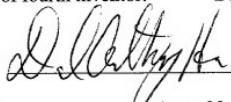
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